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ABSTRACT

The supplement to the final report of Project SPRUCE (a program to increase the employability of insured workers who experience long-term unemployment and seem likely to exhaust their benefit rights) summarizes in detail the problems encountered in the administering of the project, the operational procedures followed, and the training program provided during the two-year operation of the program. Part I, Handbook on Administrative Problems, covers the role of the advisory committee, staffing, enrollment of test and control group claimants, and services (counseling, job search plan outline and job development, job referral, and training test-group claimants). Part II, Procedures Manual, includes the selection of claimants, allowances, claims issues, job search plans, and staff duty statements. Part III, Training Manual, includes the use of forms and codes, interviews, and employment counseling. (EA)

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Project SPRUCE

Special Program of Rehabilitation for Unemployment Compensation Exhaustees

Volume 2. Supplement to Final Report

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16. Abstract

Project SPRUCE sought to determine and furnish extra employability services needed by unemployment insurance claimants who seem likely to exhaust their benefit rights, so as to help them take advantage of available job opportunities.

The project worked with experimental and control groups of UI claimants who reached their 13th week of unemployment benefits and did not have definite prospects of employment.

Findings show a demonstrated improvement of 9 percentage points in the post-SPRUCE employment rate. At the end of the 11-month followup interval, 55 percent of the experimental group were employed, compared with 46 percent of the control group.

With respect to whether the SPRUCE system can reduce the duration of benefits, the project indicates a slight gain for the experimental group which is not statistically significant.

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Volume 2. Supplement to Final Report.

STATE OF NEW YORK
Nelson A. Rockefeller, Governor

DEPARTMENT OF LABOR
Louis L. Levine, Industrial Commissioner

NEW YORK STATE DEPARTMENT OF LABOR

Division of Research and Statistics
C. A. Pearce, Director

This report was prepared by
Murray Dorkin, Chief
and Herman S. Solomon, Associate Research Analyst,
in the Office of Research and Evaluation

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FOREWORD

Project SPRUCE functioned from August 1969 to September 1971 as an experimental and demonstration project to test a special service program for long-term Unemployment Insurance claimants.

SPRUCE research findings are contained in the main volume of this final report. In brief, no significant difference in exhaustion rate was observed between the Test group and the Control group in the Project, but on followup the Test group showed a substantially higher rate of employment.

Part 1 of this Supplement -- the Handbook on Administrative Problems -- is a discussion of some structural, operational, and policy problems encountered in the administration of Project SPRUCE. Insofar as possible, the solutions developed are incorporated in the subsequent manuals.

Part 2 -- the Procedures Manual -- is a report of operational procedures for use in implementing a SPRUCE program. It includes procedural details and forms, and a complete description of "how things were done" -- but without reference to differentiated test and control subjects.

Part 3 -- the Training Manual -- was prepared to guide Unemployment Insurance and Employment Service staff in providing the types of service which characterize the SPRUCE program.

As stated in the main volume, Project SPRUCE was conducted under contract with the Manpower Administration of the United States Department of Labor. Organizations undertaking such projects under government sponsorship are encouraged to express their own judgments freely. Therefore, points of view or opinions stated in this report do not necessarily represent the official position or policy of the United States Department of Labor.

SUPPLEMENT CONTENTS*

Foreword i

Part 1. Handbook on Administrative Problems

Preface to Part 1 1
Contents 2
Introduction 3
Advisory Committee 4
Staffing 7
Enrollment of Test and Control Group Claimants 11
Services 14
Followup Procedure 30

Part 2. Procedures Manual

I. Introduction 35
II. Definitions 35
III. Scope and Method -- General Information 38
IV. Operation 39
V. Preparation of Rehabilitation Plans 50
VI. Allowances and Other Payments 51
VII. Claims Issues 52
VIII. Outline of Job Search Plan 52
IX. Staff Duty Statements 55
Attachments 61

Part 3. Training Manual

Introduction 151
Organization 151
Procedure 153
Operations 156
Employment Counseling 166

* Detailed Tables of Contents are printed with the three parts of this Supplement.

Part 1

Handbook on Administrative Problems

PREFACE TO PART 1

Project SPRUCE had no precedent to follow and so all Project experience has been carefully documented -- in six interim reports, the two volumes of this final report, and specifically in the following section -- to provide a detailed record of the knowledge gained during its 2-year operation.

Following is a report on the problems encountered in administering the Project. It also includes suggestions for improvement of the program and for corrections where mistakes were made.

The SPRUCE program recognizes the long-term UI claimant as someone with employment problems and provides for remedial services to deal with them. The purpose of the Project was to determine the feasibility of incorporating these services as a general adjunct to the existing UI function.

The results indicate limited but valuable potential in the SPRUCE program. With the progressive modifications and interim solutions here presented, intensified application to selected claimant subgroups might yield proportionately greater results, especially under more favorable economic conditions.

CONTENTS

Preface to Part 1	1
Introduction	3
Advisory Committee	4
Staffing	7
Supervisory Staff	7
Operations Staff	7
Staff Training	9
Staff Training Methods	9
Staff Replacement	10
Staff Meetings	10
Claimant Rapport	10
Enrollment of Test and Control Group Claimants	11
Sample Selection	12
Maintenance of Insurance and Employment Records	13
Recording Information	13
Services	14
Counseling	14
Job Search Plan and Job Development	16
Job Referral	17
Training Test-Group Claimants	18
1. Problems Involving Claimants	18
A. Selection for Training	18
B. Selection of Training Facility	19
C. Enrollment in Training	20
D. Academic Achievement	20
E. Counseling During Training	21
2. Problems with Training Facilities	23
A. Communications	23
B. Unavailability of Desired Courses	24
C. Course Content	25
D. Other Problems Inherent in Facility Operations	25
3. Payment of SPRUCE Rehabilitation Allowances	27
A. Primary Wage Earners	27
B. College Training	27
C. Brushup Courses	28
D. Incomplete Courses	28
Followup Procedure	30

INTRODUCTION

The Project Proposal prepared by the Division of Employment, plus the Regulations of the Secretary of Labor for its implementation, provided a dependable guide for administering the program, covering the objectives to be sought together with rules and definitions.

Meetings of Project, District, and Central Office staff of the Division held with representatives of the U.S. Labor Department during the planning, operation, and final-report stages of the program were valuable. They provided needed opportunities for exchange of ideas and for clarifying the issues and problems that arose.

The cooperation, counsel, and assistance of the administrators, supervisors, and staffs of the outside agencies who provided supportive services are deeply appreciated. These agencies include: Division of Vocational Rehabilitation; State University Urban Center, Buffalo, N.Y.; Urban Center, Hudson Valley; Erie County Health Department; Erie County Department of Social Services; Community Welfare Council of Buffalo; the Jewish Family Service; the Buffalo Board of Education; and the Veterans Administration.

The Project is also indebted to the following private training institutions through whose cooperation training opportunities were provided for selected Test group enrollees: Bryant and Stratton Business Institute, Anthony Driving School, and Continental School of Beauty.

ADVISORY COMMITTEE

The SPRUCE Project Proposal states: "An Advisory Committee will be selected by the Project Director and Work Committee to advise them, to make appropriate recommendations on the conduct of the Project, and to review the progress of the Project. The Advisory Committee will be comprised of representatives of other agencies who will advise the Project Director on the availability of special services in the locality."

The Work Committee, in conformance with the Proposal, selected the cooperating agencies in the area, listed above.

It was felt that certain members selected from the local office of the Division of Employment, whose assistance and advice would be sought during the Project, were also needed on this committee. Accordingly, the following local office staff members were selected:

Supervisor of the Manpower Development and Training Act Program

Supervisor of On-The-Job-Training

Manager of Industrial Employment Service Office

Appointments were made with the local directors and supervisors of the selected outside agencies for personal visits to their offices by members of the Work Committee. Purpose: to acquaint each one with the aims of the SPRUCE Project and to seek their advice concerning services provided by their agencies that would be available to the Project, and the requirements to be met by Project enrollees in order to avail themselves of those services.

These visits were most beneficial. In all cases, sincere interest in the Project and a willingness to cooperate in any way possible were expressed. All accepted membership on the Advisory Council and agreed to participate, either personally or through a responsible representative, in any Advisory Committee meetings that might be called.

The advice and counsel of the Local Office members of the Committee were continually sought as needed during all phases of the Project. All were most helpful and gave freely of their time to inform and advise the SPRUCE staff.

Agencies represented by the Advisory Committee were consulted on an individual basis during the planning phase of the Project, but a meeting of the full Committee was not convened until after the beginning of the Trial Run. This meeting was scheduled for February 3, 1970, in the District Office of the Division of Employment. About 2 weeks before this meeting each member of the Advisory Committee received -- personally delivered by members of the Work Committee -- copies of the SPRUCE Proposal and the report covering the planning period recently completed. This was intended for their information and study prior to the meeting and to trigger helpful questions and suggestions.

The meeting proved stimulating and beneficial, though not fully attended. Three of the invited agencies were represented as follows: District Supervisor of the Division of Vocational Rehabilitation; a staff doctor from the Erie County Health Department; a representative from the Erie County Department of Social Service. Those who notified us of their inability to attend were: Director of the Welfare Council of Buffalo; Director of the Urban Center of the State University of New York.

The Work Committee felt that the presence of Local Office members of the Advisory Committee at this meeting was not essential, since their assistance was required mostly in the field of Interoffice Operations. Members of the Work Committee who attended this meeting were the Director, Research Assistant, and Senior Counselor.

The Work Committee first outlined the purpose of the SPRUCE project, the services available to enrollees, and the general plan of operation. Then the services of each agency represented at the meeting that were available to or related to the Project, and tentative referral procedures to assure prompt handling of problem cases, were discussed. Liaison contacts with each agency were designated.

Several suggestions came out of this meeting which could not be implemented in the SPRUCE Project, but which were worthy of serious consideration:

1. That the Project might experiment with obtaining uniform medical information that would establish specifically those tasks that a client could perform, or not perform. (Present medical information is not positive enough.)

2. That a post-employment medical evaluation of those with medical restrictions should be made after a client had been on a job for a specific time (3 weeks was suggested) to determine whether the tasks he is required to perform on the job are within the limits of his capabilities, and causing no discomfort.

The representative of the Erie County Health Department stated that his department was planning to establish an employment evaluation service composed of a team of medical, employment, and social service representatives to whom placement problems would be referred for consideration and solution. (This service was established during the life of the SPRUCE Project, but was not available to outside agencies because of the heavy workload within the Health Department.)

No further meetings of the Advisory Committee were called, because our operational problems involving services from outside agencies for SPRUCE enrollees required solutions tailored to individual needs. The agency whose services were selected to assist in improving a SPRUCE Enrollee's employability was consulted directly. No problem requiring consultation with the Advisory Committee was encountered. All outside agencies called upon were cooperative throughout the Project.

Individual personal contact with probable participating agencies whose services may be used is sufficient to acquaint the agency with the program and provide an opportunity to establish liaison on a person-to-person basis.

The staff used in a project of this kind is experienced and familiar with the various agency services in the locality that are available, and has had experience with most of the problems encountered. It is suggested that during the training of selected staff in the operations and procedures of the SPRUCE Project, time be allowed for knowledgeable representatives of the various agencies to meet with the staff to inform them about the procedures and services of each agency.

Continual internal evaluation was found to be the best way to control the operation of the Project, with recommendations for change and improvement coming directly from staff suggestions and SPRUCE results. Periodic staff conferences, sometimes as often as once a week resulted in pooled experience and knowledge being applied to difficult problems.

The problems encountered involving other agencies -- for example, the time needed to complete a service, failure to inform the staff of changes in course content by training facilities -- were best handled with the agency concerned, instead of before an Advisory Committee, which might involve the airing of dirty linen.

The Work Committee is unanimous in its feeling that while an Advisory Committee is important and useful in many cases, in a project like SPRUCE individual contacts with outside agencies produce satisfactory and uncomplicated solutions to the problems involved.

STAFFING

Supervisory Staff

The Research Analyst and the Director, who had some academic training and industrial experience in the structuring of procedure and designing of supportive forms, assumed the duties of Procedure Specialist, since no qualified replacement was available when he withdrew from the Project. While this was an added burden it seemed a logical solution as the methods, procedures, and forms to be designed had to provide the research and statistical information being sought.

The Senior Unemployment Insurance Claims Examiner, added to the supervisory staff in November 1969, was assigned responsibility for all UI activities and Benefit Payment functions necessary to the operation of the program. At the same time, this person was responsible for all MDTA and other training payment functions for the Buffalo District and so was available to SPRUCE on a part-time basis. The UI Claims Examiner and Senior Unemployment Insurance Claims Clerks were well qualified and needed little supervision; the few problems that arose in the absence of the supervisor were relayed to the Research Assistant, who was also a qualified Senior Unemployment Insurance Claims Examiner.

Suggestion: Planning should include some provision for back-up personnel to fill unforeseen gaps. The supervisor responsible for UI functions should be available full time not only to handle problems, but to be an active member of the Work Committee, sharing in the planning and in the evaluation and modification of work procedures.

Operations Staff

The operations staff consisted of two Counselors, three Employment Interviewers, one Unemployment Insurance Claims Examiner, two Senior Unemployment Insurance Claims Clerks, one Senior Stenographer, and one Typist. They were selected from volunteers from the line offices and, with the exception of the Senior Stenographer and Typist, who were selected from Civil Service lists, they were transfers in grade. Because this was a temporary project, and because no promotions were involved, volunteers were few. Those who volunteered and were selected were well qualified and -- after indoctrination and training in the philosophy, concepts, and procedures of SPRUCE -- proved adequate.

Most difficult was the transition from a line office, where the pressure of time factors is ever-present, to the imaginative, analytical milieu of a research project.

There was some apprehension that a production-oriented staff might tend to apply stereotyped and stylized methods to placement and counseling problems. This was carefully guarded against and, in the main, was avoided, probably because staff was trained in SPRUCE concepts and because, at the beginning of the Project, cases were closely scrutinized.

Since staff was transferred and reported to SPRUCE after replacement in their line-office assignments, a time lag on both Phase I and Phase II had to be dealt with. In Phase II, the enrollment period for Test and Control Group claimants had to be extended because it was necessary to train the new staff prior to their assuming their Project duties. Intake had to be adjusted downward to a load level that could be competently handled by available trained staff. This did not postpone the scheduled Phase II termination date, but may have affected numbers and kinds of services offered to Test group enrollees during the intake period as some may have reached benefit exhaustion prior to being accorded adequate assistance.

Intake of enrollees in an experimental project must be controlled and the volume regulated to available staff. Sufficient time must be allowed to explain, discuss, and counsel the test group enrollees who are not job-ready, concerning services available as indicated by apparent need, to assist the job-ready to find suitable jobs and to offer them any other service needed, to record pertinent information and to make sound evaluations. This cannot be accomplished satisfactorily unless sufficient trained staff is available during the entire enrollment period.

Suggestion: Enrollment is a separate function, clerical in nature, and apart from the claims examining, employment interviewing, and counseling processes. To take full advantage of the time each enrollee will be enrolled in the Project prior to exhaustion -- some as few as 8 weeks -- a temporary clerical staff could be trained to follow set guidelines in selection or rejection of potential enrollees.

This would free the employment interviewers and counselors from routine enrollment and would also guard against the possible "creaming" of the sample by eliminating those who are to work with the enrollees from the selection process.

Suggestion: A Counselor should be retained on the SPRUCE staff for as long as enrollees are involved in remedial services or are reporting to the Project. While the Counselor may perform the duties of an Employment Interviewer, an Employment Interviewer is not a qualified Counselor.

Staff Training

Staff members must be thoroughly trained and understand the concepts, rules, regulations, methods, and procedures to be followed in attaining the goals of a program like SPRUCE. They must understand thoroughly their duties and responsibilities and their relationship to the whole Project.

Because it is so necessary that staff understand methods and procedures to be followed, these must be established before the project begins. In SPRUCE, methods and procedures were developed by the Work Committee, adjusted and established during the Trial Run.

Extreme care must be exercised to assure that the meaning of terms used is uniform and clearly understood by each staff member. This requires continual followup and review, especially at the beginning, to make sure that uniformity is firmly fixed.

Staff Training Methods

The Work Committee (Director, Research Assistant, and Senior Counselor) prepared and distributed job-duty statements to each staff member outlining his duties and responsibilities as conceived for the SPRUCE Project. These statements had been carefully prepared and checked against Civil Service Law, Rules and Regulations to assure that they were in no way in violation of them.

Several training sessions were held before the Project began to make sure that each staff member understood his job and its relationship to the whole Project. The Work Committee carefully explained the concepts, rules, and regulations governing the Project. The methods, procedures, and forms to be used were reviewed and explained in detail, with emphasis on the meaning of terms used and the special information being sought in each instance.

Since counseling problems were expected to be unique, the Senior Employment Consultant -- Counseling for the Buffalo District was called in to assist in training the Counselors. (The Employment Interviewers and UI Claims Examiner sat in on these sessions.) This training was designed to refresh the counselors' knowledge of the fundamentals of counseling and their application to anticipated SPRUCE problems -- selection of claimants for training, assisting claimants with personal problems, the importance of individual, not stereotyped, solutions, how to gain program acceptance by claimants, and the handling of other problems unique to the Project.

Staff training in a new project must be a continuing process with weekly meetings, if possible, for discussion of problems and exchange of ideas among staff members.

Staff Replacement

During the Project, staff members were replaced for various reasons beyond Project control. Before assuming their duties, replacement staff were given as much of the training as time and workload would permit. It is most important that provision be made for full training time for replacements; there were some misinterpretations by new staff members because of limited training time. These did not prove to be serious as they were quickly detected and corrected through our system of case reviews and audits. However, these errors could have been avoided if enough training time had been available.

Staff Meetings

The periodic staff meeting was the most effective way to solve troublesome problems and to present additional instruction and information. Some difficulty was experienced in finding a time for staff meetings when all staff members could be present.

Suggestion: Staff meetings should be scheduled weekly at a specific time on a specific day -- preferably Tuesday or Wednesday -- when full staff is most likely to be present. Each staff member can then plan his work so that he will be free during the scheduled time of the meeting. Difficulties of communication with absent members can thus be lessened. It may also be easier in this way to insure attendance of others than staff members whose counsel may be sought.

Claimant Rapport

The success of a project such as SPRUCE is wholly dependent upon the claimant's acceptance of, and belief in, the objectives of the program and his faith in the administering staff. It is most important that staff conduct toward the claimant convince him of their belief in his worth as an individual and their sincere interest in helping him.

The first contact with the claimant reporting to the Project office at the reception desk, must, therefore, be congenial and convincing in its sincerity. In the SPRUCE Project, both Test and Control enrollees were certified to benefits due them on a weekly basis. Since the benefit certification process in the regular UI offices requires the claimants to stand in lines, the SPRUCE staff felt that a seated interview would help. Both Certification Clerks, by their manner and performance, did much to establish good claimant rapport. While waiting to be certified, or for other services, claimants were provided with chairs and magazines to read. This relaxed atmosphere was carried through the claims examining, employment interviewing and counseling processes and did much to cause the defensive shield affected by many claimants to be lowered.

Suggestion: Before embarking on a project like SPRUCE, make sure that the entire staff understands the importance of treating enrollees in such a way as to strengthen their feelings of personal worth and of the staff's desire to help. Their personal dignity should never be affronted.

ENROLLMENT OF TEST AND CONTROL GROUP CLAIMANTS

Enrollment of the 1,024 claimants who comprised our Test group (482) and Control group (542) was begun in April and completed in September 1970. Because of the limiting effect of the screenout criteria (outlined in the Procedures section), it was necessary to have initial contacts with 3,949 claimants and to screen out 2,797 before arriving at the total sample of 1,024.

Preliminary screening based on age and trade union membership was successfully accomplished at the reception desk. The remainder were scheduled and referred for further staff interviews before final selection prior to enrollment.

Determining the firmness of attachment of a claimant to his former job in instances of layoff proved to be a problem. All claimants who stated they were on temporary layoff were referred to the Claims Examiner, Employment Interviewers, and Counselors for more intensive interviews. In a few cases, contradictory information was received from employers concerning the reasons for employees' separation. The interviewing staff screened in a few of those who worked for the same employer and were allegedly on temporary layoff; they also screened a few of them out. Some of these claimants insisted that they wanted a change of occupation to avoid continuing, periodic layoffs. This confusion emphasizes the need for one determination to be made and used as a guideline by all staff members.

Example: A female claimant, who alleged she was on indefinite layoff from an employer -- an auto parts manufacturer whose employment pattern included periodic layoffs of varying duration -- wanted training for a job that would provide more stable employment. She was enrolled in the Test group and subsequently enrolled in training in a 40-week course in modern office practice. During her time in training, her employer recalled her, but she declined his offer. She completed the course on June 18, 1971 but, prior to finding a job in her new field, her previous employer called her back in July. She accepted and returned to her factory production job. A little more than $4,800 in tuition and benefits was expended by the Project. Whether or not she will ever use this training is problematical.

If a firm determination to screen out all those laid off from this company had been made and adhered to, that would not have occurred.

This is a problem encountered mainly with secondary wage earners. Because factory production jobs almost always pay more than beginning office work, the secondary wage earner, motivated primarily by her family's need for more money, tends to gravitate toward the available higher-paying job and to ignore the probability of an uncertain future on a job for which she has qualifying training, but no previous experience.

Sample Selection

Every effort was made to guard against "creaming" in the selection of both the Test and Control group samples. The necessity of using exactly the same criteria for each group was emphasized and reemphasized, so that historical comparisons would result in valid conclusions.

In spite of all the checking, reviewing, and analyzing, enrollment was completed with a larger Control (524) than Test group (482) sample. However, the analyses failed to disclose specific reasons in these phenomena.

Suggestion: In selecting the sample for a project like SPRUCE, it would be advisable if those making the selections did not know which claimants were to be in the Test and which in the Control group. For instance, the first 1,000 who met the prerequisites would be designated the sample and could be equally divided into Test and Control group. In the SPRUCE project those whose Social Security numbers ended in even digits were called Test and those ending in odd digits were called Control group, and this was known by the SPRUCE staff prior to their making the selection.

Each of the selection criteria must be clearly defined and thoroughly understood by the selection staff. All forms on which selection will be based should be designed so that answers are simple, requiring the interviewers to make no personal judgments.

A few Control group claimants who reported to line offices for employment services complained of not being accorded services. Investigation showed that the line office Interviewer, knowing from the imprint on the claimant's book that he was a SPRUCE enrollee, thought the claimant was receiving employment services in the SPRUCE Office. This was a result of misunderstanding of instructions and was quickly cleared by contact with the Office Manager. This emphasizes the need to be sure that all working staff who may become involved understand Project operations. This problem resulted from staff transferees from other operations who had no information about SPRUCE.

SPRUCE staff informed the line Office Managers when Control group claimants indicated a desire for help in locating suitable employment, because SPRUCE felt obligated to extend such assistance to claimants. It was sometimes difficult to explain to a Control group claimant that it was only because of the accident of a Social Security number that he was not eligible for SPRUCE service.

Caution: The reasons for selection or rejection of potential enrollees should be recorded in each instance to justify selection and as a safeguard against charges of discrimination by rejectees. This situation arises as the public becomes aware of the Project.

Maintenance of Insurance and Employment Records

All insurance records of Test and Control group claimants were maintained in the SPRUCE Office. Although, under the current certification system used in the regular UI Office, it is not necessary to post each insurance payment on the Local Office record, it was thought advisable to post each payment made to Test and Control group claimants in SPRUCE. This provided a chronological insurance history of each claimant, which proved invaluable in preparing statistics.

Employment records of Test group claimants were requested from the ES Office to which they had previously reported and were made a part of the SPRUCE file. ES records of Control group claimants were maintained in the employment offices to which they reported.

When the Control group enrollment was completed, a survey was made in each ES Office, with the cooperation of management and staffs of the respective offices, to determine the number of existing ES records of the group. This survey acted as a control for our final survey. The preliminary survey was time-consuming, but we were able to locate 88 percent of the ES records of the Control group when the Project ended.

Recording Information

In a project of this kind, it is essential that each Test group claimant's case be completely documented to provide a detailed chronological record of services offered and accepted or rejected, together with reasons and results obtained.

The importance of recording all pertinent information in each case was emphasized again and again in training sessions and staff meetings. Cases were continually reviewed to assure that this was being done. All errors and omissions detected were called to the attention of the staff member and common errors were discussed in staff meetings.

Differences were found in interpretation and meaning of various questionnaire items among staff members. To produce consistent results, staff understanding must be uniform. This problem was minimized through staff conferences and discussions.

The question of how much recorded information was necessary was ever present. Since SPRUCE had no precedent, the Work Committee decided upon maximum information -- if in doubt, write it down. Reasons for negative as well as positive results were needed to answer anticipated research questions, to accumulate required statistical information, and to analyze individual cases as requested.

SERVICES

Counseling

Counseling is a most important tool in the administration of the SPRUCE project. It is at this point that any personal problems impeding a claimant's employment progress may be divulged and various remedial services considered. It is then that the claimant is faced with his problems and must make important decisions that will have a lasting effect on his future.

In SPRUCE we found several tendencies on the part of Counselors that, if allowed to continue, could result in unsound decisions being made by the claimants, that could prove detrimental rather than beneficial to them.

These tendencies were:

-- To dictate to the claimant the Counselor's answer to his problem by telling him what kind of service he needed, not allowing him to make a completely voluntary selection from information given him by the Counselor.

-- To make a full-blown case out of a minor difficulty that the claimant had lived with for years. This is especially true of the identified problems of older workers.

-- A lack of imagination and creativity in suggesting solutions to problems.

-- To concentrate on one need only, when two or more may exist.

These problems, although not common, were recognized from case reviews and occasional monitoring of the counseling process. Discussion of these tendencies with individual Counselors and in staff meetings resulted in acute counselor awareness and an improvement in problem-solving techniques.

These tendencies emphasize the need for Counselors experienced in the world of work, who can identify the real problem from the one projected by the claimant. The selection of the field or work in which a person expects to earn his living is a serious one for him and must follow consideration of all salient factors, after which he must make his own decision and choice. For instance, the Counselor should not necessarily decide that because the claimant is unskilled, he needs a skill. It must be the choice of the counselee that he wants a skill and is willing to accept responsibility for acquiring it.

SPRUCE experience indicates that a very careful study must be made of the problem of the secondary wage earner who decides during a period of unemployment that he might as well take advantage of available training with its increased benefit payments. This is especially true of the secondary wage earner, whose additional salary is needed to meet family expenses, who selects training in office work which pays less than his factory production job. There is a need for a measuring device to determine motivation more accurately.

Additional information concerning the claimant (previously mentioned) who completed office training and then returned to her factory production job, indicates that she was again laid off and that the UI and supplemental benefits paid by her employer total more than she could expect to receive as an inexperienced trained office worker. It appears highly improbable that she will seek office work, at least until her benefits are exhausted.

While it was not the usual practice in the SPRUCE Project, the possibility of limiting services to deal with one problem, when more than one exists, may occur.

Example: A female claimant, single, 30 years of age, had been a barmaid and exotic dancer. The Employment Interviewer recognized that she needed extensive dental treatment, as well as training, at the time of her SPRUCE enrollment. The Counselor to whom the case was referred concentrated on the need for training with only a general remark in the record indicating that the claimant had two teeth extracted in 1969. The claimant was enrolled at Bryant & Stratton Business Institute in a course in modern office training, which she successfully completed in September 1971.

The need for extensive dental work is so obvious that it is doubtful she would be considered for office work unless it was done. SPRUCE consulted several agencies including DVR, but because of the time involved she was referred to Social Services to apply for Medicaid to which she is entitled. There is a 2-month waiting period before approval of the care can be expected. The outcome of her application to Medicaid is now being awaited before other action is considered.

Since the claimant was eligible for Medicaid at the time of enrollment in training, arrangements should have been made then to take care of this dental problem. A Counselor experienced in the world of work should have recognized the pressing need for dental work prior to employer acceptance.

Each impediment to employability must be recognized by the Counselor, its effect on the claimant's future employment assessed, and a remedial service, if indicated, selected. The probability of the claimant's completing satisfactorily this remedial service and improving her employability from it must be measured against her long-range educational plan, occupational goals, and the strength of her interest and desire to improve herself. The complete plan must then be discussed in detail with the claimant for acceptance or rejection.

In SPRUCE, it appears that the probability of success was sometimes overlooked in a drive to enroll as many as possible in remedial services within the lifetime of the SPRUCE Project.

Example: A nurse aide who completed her course and reported that she had a training-related job, stated in a subsequent followup that she had returned to her previous job as a packer in a cookie factory for which she is paid $2.96 per hour. She is a secondary wage earner in a family of five whose total income is reported as $7,000 per year. A review of her file shows that she stressed the importance and need of more family income, which may indicate that this training enrollment resulted from directive counseling, because nurse aide employment never pays as much as $2.96 per hour.

The need to assess the soundness and strength of motivation prior to enrolling in a training project is clearly evident.

Job-Search Plan and Job Development

Administrative problems faced in the Job-Search Plan and Job Development phase of SPRUCE were confined to the structuring and restructuring of procedures and forms to produce the simplest, most complete, workable plan.

Since Job Development is a regular service of the line Employment Service Offices, it was easily adapted to the SPRUCE Project. However, the Job-Search Plan and its concept of being a contract between a claimant and SPRUCE staff, defining those steps each was to take in seeking suitable employment, was new. It required preliminary development, application, and analyses of results to determine its strengths and weaknesses. Staff operation uncovered weaknesses which, when eliminated, did much to improve the Job-Search Plan procedure.

The inclusion of the Unemployment Insurance Claims Examiner in this procedure created no problems. The claims-examining process results in a fund of employer information being collected by the Claims Examiner which can be applied to the preparation of the Job-Search Plan.

Job-Search Plan and Job Development are important in a project like SPRUCE, since they expedite the return of the job-ready claimant to the labor market and give him the support he needs at a time of confusion and discouragement because of lost employment.

Job Referral

The Job Referral process as used in the SPRUCE Project followed the regular ES Procedure. Approximately two-thirds of the Test group, classified as job-ready, were eligible for this service.

During the Trial Run and the first 2 months of Phase II, SPRUCE had difficulty in locating suitable job openings. The available job orders were held in three geographically separate offices on the basis of the kinds of services provided by each office. This required a telephone call from SPRUCE to the job-controlling office and extensive description of enrollee skills and the specifications of job openings, to determine whether any opening was suitable for the enrollee. This was a difficult, unsatisfactory method. Further, it was neither feasible nor practical to establish and maintain a current, active file of copies of all job openings held in these ES Offices.

With the advent of the Job Bank on June 1, 1970, SPRUCE received the film daily and later the book listing all current job openings in the District. This made it possible to expose SPRUCE enrollees to all available job openings and to discuss with them all pertinent job information, thus greatly improving the potential of the job-referral process.

SPRUCE claimants were considered to be enrolled for the duration of the Project, a fact clearly explained to them. However, after exhaustion of their UI benefits, job-ready claimants seldom returned to the SPRUCE Office except to refile for UI benefits. Consequently, to be meaningful, job referral and placement had to be accomplished prior to exhaustion of benefits.

For SPRUCE, the time required to obtain referral results through the Job Bank, as specified in procedure, was most important. It was also necessary to know the exact reasons why referrals were unsuccessful, because they might indicate an employability problem requiring remedial services.

The employers' replies submitted on Job Bank forms were confined to a list of directed reasons to be checked, and this was not sufficient for SPRUCE purposes. It was, therefore, sometimes necessary for SPRUCE staff to contact employers directly, as that was the only practicable way in which meaningful reasons for nonhires could be obtained in a short time.

In this kind of project, all current job orders must be immediately available. All referral results must be obtained promptly and definitive reasons for nonhire recorded in each case, as patterns may be established indicating need for remedial services.

Training Test-Group Claimants

A feature of the SPRUCE Project was the availability of training opportunities as a remedial service to improve employability. Preliminary results seem to indicate that claimants enrolled in training must be carefully selected. It remains for a later analysis of the employment experience of those trained during the Project to determine its true and lasting value to the claimant.

The administrative problems that arose in implementing the training segment of the program may be divided roughly into three general categories:

1. Problems involving the claimant: selection of trainee, selection of training facility, enrollment, academic achievement, counseling during training.

2. Problems centered in the training facilities: communications, courses available, course content.

3. Payments of benefits.

1. Problems Involving Claimants

A. Selection for Training

SPRUCE relied upon the interviewing techniques, experience, and judgment of the counseling staff for selection of candidates for training. The selectee was then referred to the chosen training facility for approval, possible adjustment of course selected, or rejection.

The only formalized test used in selection was the Kuder Preference Record to assist in evaluating the strength of the claimant's expressed interest. The General Aptitude Test Battery (GATB) was not generally used because of the distant location of the test administration section and the necessity to meet enrollment dates in the various training facilities, which limited time available for counseling and selection.

Note: To determine the possible value of the GATB as a tool in training selection, the test was administered to eight training enrollee volunteers after their enrollment in training courses. The results of the test supported the training selection in six cases, and indicated factory production work for the other two, who had been enrolled in a receptionist course and a stenographic-secretarial course, respectively. Of the latter two, one completed the receptionist course and the other is repeating shorthand, which she had failed.

In these latter two cases, the strong interest expressed by the claimant should have resulted in enrollment, with a warning against discouragement if she experienced the difficulties indicated by the GATB.

Time permitting and facilities being available, it appears that GATB should be included as a tool in training selection in a project like SPRUCE. It provides a sound additional measure against which to make a judgment.

Since the demand for female factory production workers during Phase II of the Project was almost nonexistent, a number of married women in the Test group willingly accepted training opportunities offered them and were enrolled. For instance, 19 (63 percent) of the 30 enrollees at Bryant & Stratton Business Institute were secondary wage earners; 16 of the 19 were married women. It remains for a future analysis of their employment experience to assess the real value of training them. But this does emphasize the need for careful consideration of this problem.

B. Selection of Training Facility

Individual referrals were most suitable since most SPRUCE enrollees, having recent attachment to the labor market, did not meet the requirement of the Manpower Development and Training Act that they be "disadvantaged."

Probably because of the relatively small size of the sample, training selections were scattered over various courses with no possibility of group training being indicated.

Of the 57 enrollees in training, 10 (18 percent) were enrolled at the Manpower Training Center, probably because of the limited number and kinds of courses available at the Center and failure of SPRUCE enrollees to meet the MDTA requirement of disadvantage.

C. Enrollment in Training

Prior to enrollment in training, it was necessary to obtain the approval of the Office of Manpower Development (OMD), and this required submitting the enrollment papers to OMD no less than 3 weeks prior to the enrollment date. Since in SPRUCE we tried to provide training opportunities for as many enrollees as possible, some enrollments were submitted for approval less than the required 3 weeks before. When this was explained to OMD -- this being uniquely a SPRUCE project problem -- they cooperated in every way possible. In some cases, the training facilities enrolled and started trainees prior to, and pending, approval of OMD so that the enrollees would not miss the important first days in the course.

In a project like SPRUCE, the available time to work with potential enrollees is controlled by the UI Law. To maintain momentum it is desirable to enroll as soon as possible after the decision to train is reached. Therefore, allowances must be made to cover those instances of failure to meet the 3-week deadline for OMD approval. The schools and courses selected had been previously approved by the Education Department and the enrollees had been accepted by the schools, so that OMD approval was routine and could possibly be streamlined.

D. Academic Achievement

Current interim reports of the enrollees' academic achievement were not available from any training facility. These reports would have been valuable in determining the kinds of problems the enrollees face during training. They would also have indicated those persons whose courses are too difficult and should be changed and those who should be withdrawn from academic courses entirely.

Weekly attendance information was available from the weekly benefit certification received from the school.

Bryant & Stratton Business Institute furnished final semester reports, but no mid-semester or other interim reports were available. SPRUCE consulted with Bryant & Stratton in an attempt to arrange for current periodic reports. These they could not provide, since records in the counseling office were based on information received from individual instructors, who usually turned it in at their own convenience.

Example: A 34-year-old married woman, claiming two dependents in a family of four, was a production machine operator enrolled at Bryant & Stratton in a legal secretarial course. From the beginning, she had difficulty with shorthand and typing, failing each course the first time she took it and passing after repeating it the following semester. She passed her other courses satisfactorily.

One week before the end of her final semester in September 1971, SPRUCE received an interim report (due at mid-term) stating that she would probably fail shorthand, dictation, and transcription. Our final semester report verifies the failure. She states she cannot continue on her own to repeat these courses. She feels she has enough training to get a job (her failure is based on speed) and, if she is lucky, she may be able to pay for the repeat courses. She has informed SPRUCE that she has found a job beginning about October 1, 1971. Since SPRUCE was to end on September 30, there was no possibility of recycling to pick up the failed courses. The Director and Senior Counselor discussed this case with the Counselor at Bryant & Stratton at the end of the third semester and it was agreed that the School Counselor would call her in and pursue the advisability of her changing courses. Apparently it was felt that she would complete the legal secretarial course satisfactorily.

An interesting sidelight on this case is that she is one of the volunteer enrollees who took the GATB. Those results indicated that secretarial work was a test-selected choice. Also, her high abstract reasoning score indicated possible concentration difficulties and her low vocabulary score indicated possible comprehension barriers. This may indicate why she has difficulty, but is successful upon repeating the courses. She concentrates and tries harder the second time around.

The Manpower Training Center has a working ES Counselor assigned to it who handled claimant problems on the spot, and checked attendance and achievement of SPRUCE enrollees as part of his duties. While we did not get a feedback of achievement levels attained by enrollees we did get current reports of individual difficulties as they occurred and could handle them immediately.

SPRUCE was unable to obtain enrollee achievement information from the State University Urban Center--Buffalo, but because of the nearness of this facility to the SPRUCE Office, enrollees came in to discuss their problems. In this way we were able to provide the counseling support needed. One of the major problems of enrollees at the Center was that of relating to other students and the instructors. SPRUCE arranged a group discussion period in the SPRUCE Office where enrollees could discuss their problems among themselves under the guidance of the Senior Counselor. This did much to help them gain confidence and see that their problems were common, not unique.

E. Counseling During Training

It appears that providing training opportunities is not enough, and that if enrollees are to be expected to strive for maximum achievement levels, and to complete their courses satisfactorily, periodic counseling is necessary.

SPRUCE experience suggested that a SPRUCE Counselor should be assigned this responsibility. This could be accomplished by arrangement with the training facility and the provision of specific counseling periods on facility premises. Each enrollee at the facility would be given a schedule and directed to report to the Counselor at a prearranged time. The facility would be requested to inform the Counselor about specific problems faced by enrollees. This would give the Counselor opportunities to meet with each enrollee, assess his achievement, and clear related problems with the facility's administration. It would also tend to encourage enrollees to strive for maximum achievement.

Note: This idea was discussed with the Director of Admissions at Bryant & Stratton Business Institute, who will approve an arrangement for such counseling periods on school premises.

During the Project we found it difficult to obtain the view of facilities personnel on the nature and seriousness of the problems revealed to SPRUCE Counselors by enrollees. There were no available current records on these students in the Personnel Office unless instructors reported the difficulties, which they were lax in doing. Consequently, we could only base our counseling on the statements of enrollees, without the benefit of the opinions of facility personnel.

Example: An enrollee whose course was scheduled to be completed in June 1971, lacked three subjects (accounting and two English courses). Since she was entitled to the 13 weeks of Extended UI Benefits she was reenrolled under Section 599 of the UI Law to complete her subjects. She agreed to pay the tuition fees.

Since, under Section 599, there is no sponsoring agency, we received no achievement reports at the close of the semester in September 1971. SPRUCE, therefore, contacted Bryant & Stratton and learned that she took only one subject. It was further learned that, since she failed Introduction to Communication Skills (English) twice, she had a "Double F" and cannot receive a diploma or graduate even though she may pass the course. At the time of her second failure in this course, SPRUCE should have been advised that this made it impossible for her to graduate. Transfer to a less exacting course could have been arranged or, if this were not feasible, she could have been withdrawn from training.

Not only is this an example of need to provide for enrollees who fail, but it also points up the need for closer contact with the training facility.

2. Problems with Training Facilities

A. Communications

There was a continuing communication gap between training facility administrations and the SPRUCE staff. It was difficult, and, in a few instances, impossible to obtain progress reports or specific achievement information about enrollees. This information is vital to control in a project like SPRUCE if remedial steps are to be taken prior to the end of the semester, when it is too late to do much about a reported failure. It is evident that, if these sponsored training courses are to be successful, close association must be maintained with each training facility.

Example: When SPRUCE received one enrollee's final achievement report from Bryant & Stratton, it was noted that he had been given credit for only 20 hours for the semester.

SPRUCE immediately scheduled a conference with the Dean of Instruction, who stated that the enrollee advised them that he had been granted permission by SPRUCE to carry only four courses in the last term so that he could concentrate on accounting subjects. SPRUCE agreed to the accounting concentration with the school's approval, but not to the reduction to 20 hours of instruction; this, in fact, is contrary to MDTA requirements.

As a result of his carrying only four subjects, he finished his course two subjects short of what was required for graduation. One of these subjects is a tax course he dropped on his own, earlier in the program. Responsibility for his not having the second course is accepted by Bryant & Stratton, which will provide an opportunity for him to take the course tuition-free. He will have to make up the tax course at his own expense. This agreement between Bryant & Stratton and SPRUCE is confirmed in a letter to the claimant. It is now up to him to make his own arrangements.

Note: All weekly certifications (MDT 952) received from the school certified to 25 hours of instruction each week. It was on the basis of these certifications that they agreed to offer him the missing course tuition-free.

This case emphasizes the need for better communications between training facilities and SPRUCE and also for closer SPRUCE contacts with enrollees. Since an enrollee's Certification for Benefits is completed and returned by the training facility, the enrollee reports to the SPRUCE Office only as requested during a semester.

B. Unavailability of Desired Courses

There were three cases of claimants for whom training needs were identified in fields in which no local training was available. These were in the fields of photography, electronics and sign painting. The potential trainee in photography wanted an on-the-job training program established with a friend of his who is in the business. Investigation by the OJT Unit revealed that the proposed employer did not have sufficient equipment to meet requirements and could not provide the necessary training. This claimant had no other interest and eventually returned to his regular line of work.

There was no available course in the local area in the field of electronics in which this potential enrollee was interested. He had no other interests and became employed before his case could be explored further.

The only available course in sign painting that could be found was outside of the Buffalo area, and the claimant could not accept because his wife would not agree to his leaving the area for training. He expressed no other training interests. A successful Job-Search Plan in this case resulted in his securing suitable employment.

Thus, even though needs are identified, opportunities for training cannot always be arranged. In these three cases, had motivation and desire on the part of the claimant for self-improvement been strong enough, further exploration and counseling might have resulted in some other suitable training being arranged.

Manpower Training Center

Since SPRUCE enrollees had recent attachments to the labor market, there were only a few who met MDTA criteria of disadvantage. Of 57 SPRUCE claimants enrolled in training, 10 (16 percent) qualified for training at the Center. The reason for this low enrollment of SPRUCE trainees in the Manpower Training Center is that courses are not offered frequently and, when available, are in limited fields, not usually of interest to SPRUCE claimants representing a cross section of most fields of work found in the local labor market. The courses available during the SPRUCE project were: Auto Body Repair, Auto Mechanic, Nurse Aide, Licensed Practical Nurse, and Welder. Since the time of availability of SPRUCE claimants was limited, only currently operating courses could be considered.

C. Course Content

When registration in certain subjects is low, training facilities will drop them and substitute others in a programmed course, without notification to SPRUCE or prior notification to the enrollee. In one facility, Urban Center, after 20 weeks of a scheduled course had been completed, the administration decided that course content was not right and changed it completely; the 20 weeks spent were considered qualifying for the new course. This extended the enrollment time for completion beyond the closing date of the SPRUCE program. The enrollee involved was then enrolled under DVR in an extended program, so that the only ill effect will be that SPRUCE allowances will end prior to her completion of this part of her remedial program.

A 4-week truck-driving course included road practice as part of the scheduled 25 hours per week instruction. Because the school had only one truck available for practice, enrollees were required to wait their turns for road practice. In some cases, this road-practice problem extended the course beyond the scheduled 4 weeks. SPRUCE could do little about this except to contact the school as complaints were received and remind them that the waiting time could not be included in the 100 hours of instruction and training. The five enrollees completed this course satisfactorily and passed their qualifying road tests.

It is essential that satisfactory two-way communications be established and maintained between training facilities and the staff of a project like SPRUCE. (This could be satisfactorily handled through the visiting Counselor suggested in the section entitled Counseling While Attending Training Facilities.)

D. Other Problems Inherent in Facility Operations

There were other areas in which problems arose that seemed inherent in the operation of the facility and which complicated SPRUCE Administration. These were:

(1) Changes in course content.

This problem is described under the heading Course Content (above) where an example of an Urban Center case is cited. The problem also occurred at Bryant & Stratton Business Institute where several enrollees reported that they found courses substituted in their planned programs very difficult and not to their liking. SPRUCE learned that this is a policy practiced by the school; when the regularly planned courses do not attract a minimum number of students, other more popular courses are substituted.

(2) No allowance made for differences in student backgrounds.

SPRUCE enrollees are noticeably older than the high school graduates who predominate on the student body at Bryant & Stratton Business Institute. Most of the enrollees had been away from academic studies for some time and had pressing family responsibilities. They found the transition from work to study difficult, especially in the first semester. The five dropouts from this facility occurred at various intervals -- the longest interval was 14 weeks -- indicating that some tried longer than others before giving up.

This transition from work to study required intensive counseling by SPRUCE Counselors to encourage enrollees to try a little harder and to suggest ways out of their individual difficulties.

Suggestion: Group-type counseling, or orientation, should be provided by SPRUCE before enrollees begin their courses, to help them bridge the gap between work and study. It should include instructions on how to study, how to get along in class situations, etc. The offer of SPRUCE Counselor assistance for any personal problem should be firmly made. It should be emphasized that SPRUCE expects them to succeed and will be interested in their progress throughout their school programs.

(3) No provision for typing practice.

Some enrollees felt they needed typing practice in order to attain passing grades and asked whether SPRUCE had any provision for typewriter rental. The training facilities had no provision for practice time.

Since these claimants had been away from academic study for some time, many of them probably do need additional practice to attain required speed and accuracy. One enrollee reported that she rented a typewriter at her own expense.

(4) Change of course content and addition of time to complete courses.

In July 1970, Bryant & Stratton Business Institute changed the content of several courses and added a 10-week semester to each. SPRUCE did not know of this change until the school returned a referral based on the original number of weeks.

(5) Job placement by Bryant & Stratton.

A discussion with the Dean of Instruction concerning job-placement services available at the school for students revealed that they now have placement service that meets requirements of New York State for a public employment

agency. All graduates are entitled to this lifetime service, which is also available to nongraduates (who are referred as nongraduates).

A fee is charged the employer for this service, which must be paid if he hires a referral; there is no charge to the student. A SPRUCE enrollee stated she was refused a job by an employer to whom Bryant & Stratton referred her because he said he would not pay the fee.

Since suitable placement is the desired end-result of the SPRUCE Project, provision for this type of service should be made through the Project. Job-development techniques should be emphasized, since most trainees have no marketable experience in their new fields.

3. Payment of SPRUCE Rehabilitation Allowances

SPRUCE benefit payments were usually adequate during counseling, training, and the period during which rehabilitation services were rendered by other outside agencies. These were, however, administrative problems which should be considered.

A. Primary Wage Earners

If the primary wage earner or head of a family considers training, the unemployment rate plus the $20 incentive offers little inducement. His need for money depends upon his family responsibilities, and usually he will accept employment in preference to training. In these cases, to make it financially possible for him to accept training, a dependency allowance (say, $15 per week per dependent, up to five) will be needed in addition to the UI rate plus the $20 incentive. SPRUCE experience indicates that, while these cases may be few, they do exist.

B. College Training

There is no allowance under the SPRUCE program for the completion of college courses that would improve employability.

Example: A head of a family, with only his wife as dependent, needed a B.A. degree to teach. This required a year's study at the University of Buffalo. Since he was subject to heart trouble, we referred the case to DVR. DVR accepted the case and paid for his tuition and books. SPRUCE paid him UI benefits, considering that he was in Counseling while receiving DVR services.

If not for his heart condition, SPRUCE could not have helped him. As it is, he has completed his studies, received his B.A. degree, and is now employed as a teacher in the Rochester, N.Y., school system. Consideration should be given to cases like this one, in which a year or less of academic training will enable a claimant to get the degree that will improve his employability.

C. Brushup Courses

There was no provision for enrolling SPRUCE claimants in existing brushup courses requiring less than 25 hours per week of instruction. Those who had previous training in stenography, secretarial and accounting courses, and needed only brushup were compelled to enroll and take the complete course to meet MDTA requirements. Brushups would be less costly and would provide the instruction needed to improve employability.

D. Incomplete Courses

Some enrollees do not complete their courses, usually as a result of failure in one or two subjects which were not made up. The training facility will not allow such students to graduate, will not issue a diploma, or give any other recognition of time spent in the course.

Since SPRUCE contracts cover only the scheduled course time and make no provision for extension of time because of failure, these enrollees are obliged to seek other means of obtaining money to complete their courses. In several cases, because of the amendment to the UI Law providing for 13 weeks of Extended Benefits after exhaustion, SPRUCE was able to transfer some of these enrollees to Extended Benefits and approve completion of the courses under Section 599 of the UI Law. In such cases, the student paid his tuition and Extended Benefits paid his UI rate for the duration of his entitlement.

There is provision at the training facility for tutorial assistance available to students for a fee. If tutoring is considered the solution, funds should be available from SPRUCE to cover the cost.

If there is a Counselor assigned to the facility, as previously suggested, the problem of failure can probably be reduced, so that help may be provided where needed and those unable to do the work can be withdrawn from the school.

Division of Vocational Rehabilitation

During Phase II of the Project, six cases were identified as needing DVR services and were referred. During the time these claimants waited for DVR services to begin, SPRUCE continued them in Counseling and paid benefits in accordance with SPRUCE regulations.

Since waiting time seemed excessively long, SPRUCE contacted DVR to determine the status of the enrollees, and the reasons for delay; the reasons given were that medical evaluation was awaited, or that the agency workload retarded case action. In one instance the transfer of the Counselor handling the case delayed action.

Five of the six referrals were accepted and enrolled in long-range programs of education and training for periods up to 4 years. The sixth one (an epileptic) was counseled by SPRUCE, and although this claimant recognized her need for medical rehabilitation she did not immediately apply for it. Eventually she did apply, but before being enrolled by DVR accepted a civil service appointment as a Clerk Typist at the E. J. Meyer Memorial Hospital, where she is presently employed.

In one of these cases, a claimant who was losing her eyesight and was suffering short recurrent periods of blindness during her enrollment in SPRUCE -- this was followed by total blindness -- was enrolled in training at the Lighthouse in New York City through DVR (VRS).

DVR paid for her training and subsistence in New York City. Her SPRUCE benefits enabled her to keep an apartment in Buffalo with which she was thoroughly familiar, having lived there 10 years before suffering total blindness. As she is still in training at the Lighthouse, and since SPRUCE was to end on September 30, 1971, some other arrangement that would enable her to keep her Buffalo apartment until completion of her course had to be found. DVR is not funded to cover this added expense and, because of recent changes in the Law, Social Services could not help.

SPRUCE had previously suggested that she apply for disability benefits under the Social Security Act; she did that in July 1970, but has not received a reply. SPRUCE representatives visited the local Social Security Office to see whether her claim could not be expedited. The Social Security Supervisor understood the problem; he felt sure that her claim would be approved retroactively, and that through a rush procedure (regular procedure requires 6 months), payment could be in her hands no later than October 2, 1971. (Her last SPRUCE benefit payment will be for the week ending September 26, 1971). This will solve her problem and will not leave her unsupported because of termination of the SPRUCE program.

In using an agency like DVR, the costs of the program (i.e., total SPRUCE benefits paid) should be measured against the alternative cost of enabling SPRUCE to expedite purchase of service independently on an individual contract basis. This would apply to cases such as the purchase of prosthetic appliances, but not to long-range educational programs which SPRUCE is not funded to cover.

Example: An enrollee in Phase I, the Trial Run, needed leg braces to become employable. At the time he was enrolled he had a prescription for the braces.

SPRUCE referred the case to DVR. At the time he was put on SPRUCE Extended Benefits; after exhaustion of his UI claim, he was still waiting for his first DVR appointment. By the time the case was completed, SPRUCE had no benefits to pay while working on his placement problem, the 52-week period having been exhausted. SPRUCE estimates that, had this case been handled through individual independent purchase contract, the total cost would have been approximately $1,282 and could have been completed in 6 weeks. (Braces, $800; shoes $70; orthopedic surgeon $100; SPRUCE benefits, $312 -- 6 weeks @$52). This compares with total SPRUCE benefits paid for 58 weeks @$52, a total of $3,016, before completion of the case through DVR.

SPRUCE benefits, plus individual contract costs, may be compared in this way with total SPRUCE benefit costs during the period when service is being rendered by an outside agency. A project like SPRUCE should be prepared and funded to handle problems as soon as possible instead of having to wait for outside agencies to get around to dealing with SPRUCE problems.

FOLLOWUP PROCEDURE

To compare information on the employment history of the Test group with that of the Control group a followup system consisting of the following steps was developed:

--First mail request

--Second mail request

--Telephone call

--Home visit

--Certified letter

This followup procedure was applied to each Test and Control group enrollee at three different times: 3 weeks, 13 weeks, and 26 weeks after an enrollee's first failure to report to the SPRUCE Office. The 3-week followup was used only when the reason for his failure to report was unknown. The 13- and 26-week followups were made for all enrollees.

Experience showed that telephone calls, all of them by SPRUCE staff, were more productive if made after, rather than before, 5:00 p.m.

Community Workers attached to the Community Employer Relations Unit made the local home visits. Information was obtained, usually from someone living on the premises or from neighbors. Although in some instances such information was unusable, the home visits added substantially to the number of usable replies and were considered to be worth the effort.

The certified letter was not successful. It provided new addresses in a few instances, but did not appreciably increase the number of replies, even though an explanatory letter was included with the questionnaire.

A common complaint of respondents was that they had already supplied the information requested. After explaining the reason for the additional requests, most were cooperative. It appears that this confusion may be due in part to the similarity in general appearance and content among the 3-week, 13-week, and 26-week questionnaires. This also indicates that instructions concerning the reasons for, and importance of, answering these questionnaires were not absorbed by these claimants when explained at time of enrollment in the Project.

Suggestion: The 3-week, 13-week, and 26-week followup forms, identified by different colored paper with different formats, could be used to differentiate them. A simple letter, explaining the number of questionnaires to be sent, the color of each, and emphasizing the importance of the reply, should accompany each 3-week followup questionnaire. Thus, even though enrollees may insist that they had previously provided the same information, the explanation may be more convincing if it is related to the letter and the color of the questionnaire.

Part 2

Procedures Manual

CONTENTS

I.	Introduction	35
II.	Definitions	35
III.	Scope and Method - General Information	38
IV.	Operation	39
	Selection of SPRUCE Claimants	39
	Preliminary Interview (outline)	41
	In-depth Interview (outline)	43
V.	Preparation of Rehabilitation Plans	50
VI.	Allowances and Other Payments	51
VII.	Claims Issues	52
VIII.	Outline of Job Search Plan	52
IX.	Staff Duty Statements	55

ATTACHMENTS

A.	Claimant Flow Chart	61
B.	Claimant Profile Form (SPR-1X)	62
C.	SPRUCE Claimant Characteristics Form (SPR-2X)	63
D.	ES 300 Folder and Contents	64
E.	Guidelines for Payment of Rehabilitation under SPRUCE Program (New York State Department of Labor)	73
F.	Regulations of the Secretary of Labor Implementing the E and D SPRUCE Project	103

To: UNEMPLOYMENT INSURANCE STAFF

Re: OPERATIONAL PROCEDURE FOR SPRUCE PROGRAM

I. Introduction

The purpose of SPRUCE, a Special Program of Rehabilitation for Unemployment Compensation Exhaustees, is to enable the Federal-State Unemployment Insurance system to better cope with the needs of insured workers who experience long-term unemployment.

Many workers who have enough recent employment to qualify for regular unemployment compensation have some inadequacy or problem which hampers their reemployment to such an extent that they are still unemployed and seeking work when they exhaust their unemployment insurance (UI) benefits. The worker may very well need training, guidance, relocation, relatively minor medical help, or other rehabilitative service in order to prevent his becoming one of the long-term hard-core unemployed.

SPRUCE concentrates on this "disadvantaged" UI claimant population to provide a full spectrum of employment security services and special services to meet their needs.

II. Definitions

This program will use standard definitions applicable to the various programs administered by the Division of Employment[1/] as well as the following definitions applicable to this program.

A. Employability Classification. For evaluation and service purposes, claimants are classified into one of six categories to indicate the degree of employability and/or job readiness at time of enrollment.

1/ The Division of Employment administered the Unemployment Insurance and the Employment Service activities before May 8, 1972, when it was consolidated into the general administrative structure of the State Department of Labor.

B. Occupational Skill. An ability or acquired knowledge, developed through training and/or experience, to perform in a specialized occupation.

C. Unskilled Job Competence. An ability or acquired knowledge, demonstrated through prior employment, to perform as common laborer, unskilled helper, or in other unskilled work.

D. Marketable Skill or Competence. An occupational skill or unskilled job competence for which there is a demand in the local labor market.

E. Impediment. A personal shortcoming or defect, not necessarily physical, which limits or prohibits employability.

F. Job-ready. A person with a marketable skill or competence but no immediate job prospects, whose employment problem requires only job-finding service: job-search assistance available from SPRUCE's UI staff, job referral available from UI or Employment Service (ES) staff, job development and interarea clearance from ES staff, and/or placement by ES staff.

G. Not Job-ready. A person with no marketable skill or competence or with an impediment which is to be corrected before placement service can be effective; such a person's employment problem requires client service by ES staff, ranging from regular, special or intensive counseling to training, medical or other rehabilitation service and/or relocation services as are made available through SPRUCE.

H. Reason for Becoming Unemployed. Is identified by the following definitions for classifying types of unemployment by economic causes.

SEASONAL: Unemployment based on customary reduction or cessation of operations at certain times of year because of dependence on climate, consumer demand, style change, etc.

IRREGULAR: Unemployment based on the sporadic nature of demand inherent in the production of certain goods, the performance of certain services, or the availability of certain contracts or materials; or on unforeseen events -- e.g., fire, delays in prior processing, etc. -- which interrupt an otherwise regular production process; or on work-sharing arrangements.

CYCLICAL: Unemployment based on the contraction or slowdown of the general economy affecting different industries in turn, as triggered by tight money, inventory accumulations, etc.

STRUCTURAL: Unemployment based on the shutdown of plants caused by migration of industry, or on a change in the staffing pattern within an industry, or on the size or number of firms within an industry, as triggered by credit and financial difficulties or by longrun changes in demand for product, in mode of marketing, in use of materials, in union influence, etc.

TECHNOLOGICAL: Unemployment based on a change in the techniques of production, reducing the need for certain occupations, skills, or talents.

FRICTIONAL: Unemployment based on individual workers' and employers' trial-and-error processes in finding the right match of man and job; such unemployment may occur upon a worker's entry or re-entry into the labor force, or as a result of his dissatisfaction with working conditions on the job, or upon his employer's decision to replace him.

REDUCED EMPLOYABILITY: Unemployment based on impaired productive value of the individual worker because of physical condition, as triggered by aging, illness, handicap, accident, pregnancy, etc., or because of limited availability due to increased family and home responsibilities.

I. Special Rehabilitation Period. The 1-year period beginning with the first week in which an individual receives any SPRUCE rehabilitation services or for which an allowance for standby is received. The special rehabilitation period may be extended for a period not to exceed 13 weeks if at the end of such 1-year period the individual is in an education course or in training.

J. SPRUCE "rehabilitation allowance." Any cash payment made to an individual for a week:

-- in which he receives counseling or testing after his exhaustion, or
-- in which he is receiving any rehabilitation service included in his rehabilitation plan, or for a week of standby time, provided that the cash payment received is not a cash payment under the State or Federal law, or a cash payment under the Manpower Development Training Act (except for a cash payment that supplements a Manpower Development Training Act payment; such supplement is a SPRUCE rehabilitation allowance).

K. Standby time. A period of up to 6 weeks when an individual is awaiting availability of a service included in his rehabilitation plan, and a period of up to 4 weeks of unemployment after the service included in his rehabilitation plan has been completed, provided that he is actively seeking employment.

L. Training Incentive Payment. A weekly incentive payment of $20 to be provided in addition to other allowances paid to claimants enrolled in occupational or educational training programs.

III. Scope and Method: General Information

SPRUCE activity will be conducted by UI and ES personnel trained in the concepts and procedures of SPRUCE.

A. SPRUCE claimants will be selected from among regular UI claimants using specific criteria. All claimants (age 22-64)[1/] who reach their 13th week of unemployment benefits, and do not have definite prospects of employment, will be selected as potential SPRUCE enrollees. These claimants will be accorded, when appropriate, the full services of the SPRUCE program -- intensive interviewing, counseling, testing, and appropriate supportive rehabilitation services. Claimants will be classified into two basic Employability Groups as follows:

1/ Special programs for youth up to 22 years and the aged now exist and should be used.

Group I. Claimants who have marketable skills, but no immediate job prospects will be required to register for work with the Project's ES Unit for intensive job-development assistance. The UI Claims Examiner may assist the Employment Unit in the formulation and followup of job-search plans, but not in job development. Reinterviews will be scheduled to evaluate job-finding efforts and to review the results of the Job Search Plan.

Group II. Claimants with no marketable skills or with some handicap which must be corrected to improve the claimant's employability will be referred to the Employment Service Unit for intensive counseling, testing, and other appropriate supportive SPRUCE rehabilitation services.

If in the course of working with Group I claimants, it is decided that rehabilitation services are needed, claimants should be reclassified to Group II. Similarly, if it is decided that a Group II enrollee needs only placement assistance, he should be reclassified Group I. Record dates and reasons for these changes in the claimants' records. Training and education will be provided and funded under MDTA appropriations whenever possible. Other special rehabilitative services will be provided, to the maximum extent possible, through the resources and services of other local, State and Federal agencies (vocational rehabilitation, welfare, public health, etc.), and the individual's hospital and medical insurance. Payments for such assistance shall be made from SPRUCE funds only to the extent that such other resources and services are not available.

IV. Operation[1/]

A. Selection of SPRUCE Claimants (See Flow Chart, Attachment A.)

1. From among the regular UI recipients, identify all claimants certifying to their 12th week of benefits and instruct them to

1/ Procedure is based on assumption that SPRUCE program recipients will be serviced in a designated "SPRUCE" area of local office by specially trained SPRUCE staff.

report to the designated SPRUCE area the following week. Attach notice to cover of claimant's booklet (LO 318) with written instructions to confirm oral notification.

2. When claimant reports to SPRUCE the following week (13th week of certification):

   a. Certify claimant to benefits (unless claims issue has arisen). Stamp SPRUCE on same line as certification.

   b. Determine whether claimant is to be screened out of Project by applying the following criteria:

      -- Under 22 and 65 years and older.

      -- Permanently deferred from regular job-search activity by union affiliation.

      -- Obviously pregnant.

      Note: If claimant is temporarily laid off, he is to be considered to be screened in at this point for a preliminary interview.

   c. If claimant is determined to be screened out, instruct him to report back to his regular line the following week.

   d. If claimant is screened in:

      -- Enter name and Social Security Number on list to be kept for future reference.

      -- Remove Claims Card (LO-1) from Booklet.

      -- Give claimant "Claimant Profile" form (SPR-1X, Attachment B) and instruct him to return to SPRUCE on next regular reporting day with form completed.

   e. Prepare "Out Card" for all claimants screened in.

f. Request Insurance Record (LO 339) from local Insurance Office and exchange for Out Card.

g. Place Claim Card (LO-1) in Insurance Record (LO 339).[1/]

h. File Insurance Record in SPRUCE UI file.

3. When claimant reports to SPRUCE Section the second week:

a. Certify claimant to benefits (unless claims issue has arisen).

b. Conduct the Preliminary Interview as follows:

OUTLINE: PRELIMINARY INTERVIEW

Information Forms Needed

-- Claimant's Reporting Booklet (LO 318 - LO 318.2)

-- Insurance Record and contents (LO 339)

-- "Claimant Profile" form (SPR-1X)

Step #1

Review "Claimant Profile" questionnaire for completeness:

1. Make certain all questions on claimant's portion of form are completed.

2. Complete question at bottom of form marked "For Official Use Only."

Step #2

Final screen-out. Through preliminary questioning and observation of information on "Claimant Profile" form

1/ Purpose of retaining claims card is to insure that claimant returns to SPRUCE the following week.

determine whether claimant is to be screened out of program by applying the following criteria:

-- Under 22 and 65 years and older.

-- Permanently deferred from regular job-search activity by union affiliation.

-- Obviously pregnant.

-- Permanent part-time worker.

-- Claimants for whom recall to former employer is assured (should be verified with employer).

Note: Exception to above criteria will be any of the above (except those screened out because they are under 22 or 65 and older) who has answered "yes" to question #9 on Claimant Profile (SPR-1X, Attachment B), which asks "Do you feel that you need help in finding a job?" Enroll him if need for help is established.

If claimant is not enrolled:

1. Instruct claimant to return to regular insurance office next week.

2. Return Claims Card (LO-1) to claimant.

3. Return claimant's Insurance Record (LO 339) to Insurance Office and destroy Out Card.

If claimant is enrolled:

1. Complete "Characteristics Form" (SPR-2X, Attachment C) making sure each block is completed with an answer. Leave no blanks.[1/]

1/ On Characteristics Form (SPR-2X) specifically note the following:
-- Question #18 A & B and #19 A & B. Verify occupation with claimant and verify DOT code for accuracy.
-- Question #20. Interpret reason for becoming unemployed from claimant's statement and employer's statement as shown in Insurance Record.
-- Question #21. Obtain answer from claimant. Interpretation of claimant remarks and reasons may be necessary.

2. Explain SPRUCE program to claimant.

3. Schedule claimant for an in-depth interview the following week on or before regular reporting day. Give claimant an appointment card with date, time, and name of interviewer and staple to cover of Insurance Booklet.

Note: Allow a minimum of 70 minutes per interview, including evaluation and writeup. (Tell claimant to plan to spend at least an hour in the office at time scheduled for this interview.)

4. Prepare record folder with contents. (ES 300, Attachment D) Retain record folder in ES file and return Insurance Record to SPRUCE insurance file.

5. Request Employment Service Record (ES 66) from Employment Service Office in which claimant is registered for work.

B. In-depth Interview

1. When Claimant reports for in-depth interview:

a. Certify claimant to benefits (unless claims issue has arisen).

b. Complete in-depth interview per following outline:

2. Outline of In-depth Interview:

Purpose: To elicit and record pertinent information which will clearly define problem areas and form the basis on which needed available SPRUCE services may be offered.

Tentative Time Schedule:

a. Review record prior to calling claimant (approx. 5 min.).

b. Conduct interview per outline (approx. 45 min.).

c. Evaluation and writeup (approx. 25 min.).

Information Forms Needed:

-- Claimant's Booklet (LO 318 - LO 318.2)

-- Insurance Record (LO 339)

-- Employment Record (ES 66)

-- Any other pertinent ES records such as counseling interviews, referral and placement information, rehabilitation efforts, etc., which may be available in Employment Service office.

-- Claimant Profile Form (SPR-1X) and characteristic questionnaire (SPR-2X) which were completed at preliminary interview.

-- Record folder (ES 300) and contents previously prepared.

Prior to calling claimant for interview, review all available information including:

-- Work history

-- Occupation

-- Skills

-- Handicaps

-- Reason for unemployment

From available information, tentatively plan interview. At this point no fixed or definite pattern should be established. Consider the most obvious clues to reason for claimant's unemployment and work from there.

The interview:

Review and complete all existing forms.

1. Complete ES 66 if necessary.

a. Review and expand details of work history such as:

-- Tasks performed (may include types of material worked on)

-- Likes and dislikes

-- Capabilities with respect to tasks and skills

-- Add hobbies, if any, and determine the degree of skills and possible application to job-oriented training. (Use form ES 300.3 if necessary.)

-- Discuss education and, if appropriate, pursue possibility of additional education or vocational training. (Use form ES 300.4 if necessary.)

2. Review claimant's employment history

(Use form ES 300.1.)

a. If claimant has skills, list them:

-- Include years worked at each skill

-- Whether claimant enjoys or avoids each skill

b. If claimant has no skills:

-- Determine reason for lack of skills, considering age, personal traits, background, education, etc.

Note: The answer to this question will be helpful in evaluating claimant's needs and selecting possible services to be offered.

c. Review and evaluate claimant's physical capabilities.

-- Record limitations imposed by handicaps.

d. Ask what claimant has done to look for work.

-- Where has he looked?

-- Does he have a suitable Job Search Plan?

-- What problems has he encountered?

3. Prepare preliminary diagnosis

a. Define and record claimant's problem in finding suitable work.

-- Problem may be stated by claimant.

-- Problem may be implicit in the information obtained.

b. Evaluate and redefine problem, if necessary.

c. Determine appropriate action needed.

4. Assign appropriate employability classification.

The SPRUCE Claimant Characteristics Form (SPR-2X, Attachment C) was completed at time of preliminary interview. Question 26 requires that an employability classification be assigned to each enrollee. There are two major employability groups, each of which is broken down into three subgroups as follows:

a. Group I. Job-ready, requiring placement services only

IA. Marketable skill or competence, without impediments.

IB. Marketable skill or competence, but with personal impediment which is: not remediable, unrelated to job performance and precluding any attempt at upgrading, retraining, or skill conversion.

IC. Skill or competence not in demand locally, but warranting statewide and out-of-state clearance.

b. Group II. Not job-ready, requiring client service prior to placement

IIA. Marketable skill or competence, but with a personal impediment to be corrected for employer acceptance.

IIB. No marketable skill or competence, but without personal impediments to employability.

IIC. No marketable skill or competence, but with personal impediments to employability.

Note: The classification IB refers to cases of client weakness in which the choice between IB and IIA is the responsibility of the staff, applying its professional judgment. The classification IC refers to cases of market weakness in which the choice between IC and IIB should rest with the client.

It should also be noted that the classification IB includes those individuals with impediments that cannot be corrected, but which do not preclude placement. Individuals classified IB should be given more consideration than just job referral, as they probably face unique problems in their job search.

5. Selection of appropriate services will be in accordance with the employability group assigned:

Group I Services:

Job Referral: For the person who has marketable skills, whose only problem is finding a job.

Job Search Plan: For claimant with marketable skills who needs help in looking for work. The plan must be geared to claimant's individual circumstances, be related to his skills and the demand for his skills within the community. It must take into consideration his wage needs and the prevailing wage in the community. It may also include advice on appearance, and how to apply for a job. (See Sect. VIII, Outline, Job Search Plan.)

Job Development: For the person with marketable skills related to specific jobs for which the demand within the community is limited and confined to specific industries; and for those whose skills do not fully meet job requirements, but which could possibly be used if minor job adjustments or allowances were made by the employer.

Group II Services:

Counseling: Performed by qualified counselors; may cover all claimant's personal and job problems to assist him in arriving at a suitable solution.

Education and Training: Includes State and Federal programs, individual contact with State-approved schools and agencies, on-the-job training, etc.

Rehabilitation, Medical: Includes medical, surgical, dental and psychological service and visual, hearing or orthopedic aids for claimants who need such assistance to improve their employability.

Rehabilitation, Other: Services other than Education and Training and Medical Rehabilitation to improve claimant employability: for example, Remedial Education.

Relocation: If a rehabilitation plan includes relocation, a claimant may be moved within the State, provided he meets the prescribed eligibility requirements.

6. Termination of interview

a. If a definite plan of action can be decided upon at first interview, set up plan with claimant and reschedule claimant as needed for evaluation of results.

b. If a job referral is indicated, make it if possible and schedule claimant for followup.

c. If no special plan of action can be decided on at first interview, reschedule claimant for continuation of interview. Consultation and evaluation before the next interview may clarify the problem and result in a plan of action.

d. If claimant requires counseling, schedule him for interview with ES counselor.

7. Writeup and evaluation:

a. Post action taken and next step on face of ES 300 record folder.

b. Write up brief summary of interview (ES 300.6)[1/] including:

-- Attitude of claimant.

-- Reasons for willingness to participate in Program.

-- Reasons for refusal of services offered.

-- Plan of action.

-- Services needed.

-- Further action planned.

c. Disposition of records

-- Retain record folders (ES 300 series) needing further evaluation or consultation.

-- Return completed record folders to file.

1/ This should be done as soon after interview as possible to assure completeness and accuracy of recorded information.

-- Return all Insurance Records (LO 339) to certification section.

-- Retain a record of any followup required (job referral, special services, etc.) which must be completed before next interview.

V. Preparation of Rehabilitation Plans

A. Training: If it is agreed between counselor and enrollee that a training plan is a possible solution to his problem, then:

1. Determine kind of training.

2. Determine claimant's capability to absorb training and profit by it:

a. Relate to his education.

b. Relate to his aptitudes (use GATB, if necessary).

c. Relate to his personal goals.

d. Relate to hobbies, if any.

e. Relate to his physical condition.

3. Determine when and where training is available (institutions, agencies and programs).[1/]

4. Contact agency involved and, if feasible, arrange for interview and agency evaluation of claimant.

1/ Includes MDTA, approved schools, Division of Vocational Rehabilitation, and all other agencies in community with ongoing training programs. If established programs are available through other agencies, use them. If not, arrange on an individual contract basis. (Note: exploratory and informational contacts should be made with these agencies and liaison established before the start of a SPRUCE Program.)

5. If acceptable, expedite claimant's enrollment.

B. Rehabilitation, Medical: Medical services may be required prior to employment to alleviate a handicap.

Determine the service needed, as indicated by work history, doctor's statement, and claimant's statement. Many of these services are available through the Division of Vocational Rehabilitation, Social Services, etc. If not available at these agencies, arrange for visual, hearing or orthopedic aids on an individual contract basis. (If time is an important factor, and case loads in the selected agency are heavy, valuable time can be saved through individual contracts.)

C. Rehabilitation, Other: Services other than medical are classified in this group: for example, Remedial Education, obtaining of Equivalency Diploma, etc. (SPRUCE Funds are used to support claimants while they are participating in these programs.)

VI. Allowances and Other Payments

A. Training allowances will be payable to a qualified individual pursuing an education or training course included in his Rehabilitation Plan. The amount payable shall be equal to the last weekly UI benefit amount, plus an incentive of $20.

B. Rehabilitation allowances will be payable to a qualified individual who is not eligible for unemployment compensation under State law for any week:

--in which the individual is being counseled or tested as a part of his Rehabilitation Plan;

--in which the individual is receiving any medical or rehabilitative services as a part of his Rehabilitation Plan.

C. Standby payments will be payable for a period of up to 6 weeks to an individual awaiting availability of a service or a specific job opening and for a period of up to 4 weeks of unemployment after the service included in his Rehabilitation Plan has been completed, provided the individual is not eligible for unemployment compensation during this period.

D. Relocation allowances will be payable when the determination has been made that relocation is the most appropriate way an individual can be rehabilitated and for each succeeding week up to and including the week in which an individual starts to work at the relocation job, the whole not to exceed 10 weeks.

For payment procedures, refer to SPRUCE procedure titled "Guidelines for Payment of Allowances Under SPRUCE Program" (Attachment E).

For eligibility requirement for SPRUCE payments refer to "Regulations of the Secretary of Labor Implementing the E and D SPRUCE Project" (Attachment F).

VII. Claims Issues

All claims issues are to adjudicated in conformance with UI Law, Regulations and Interpretations. The only exceptions are those issues involving Refusal of Job Offer or Refusal of Referral. The adjudication of refusal issues arising in this Program is to be tempered to the extent of exploring thoroughly the expressed reasons for refusal because they may indicate a problem to which special SPRUCE Services should be applied.

VIII. Outline of Job Search Plan

A. Purpose

The Job Search Plan in the SPRUCE project is intended to provide job-search guidance and assistance to those UI beneficiaries who are occupationally set, are not in need of special employability services, and have the capacity to make direct employment contacts with prospective employers without the intervention or assistance of ES staff. Generally, such claimants are either those who, because of brief local residence, lack sufficient knowledge of the area and its employment opportunities and long-term employment with a single employer, or those who need assistance in organizing their job-search efforts.

The Job Search Plan is intended to improve the efficacy of the claimant's job-search efforts. It does not entail job-development contacts with prospective employers.

B. Responsible Staff

Employment Service Interviewers and Unemployment Insurance Claims Examiners assigned to the Project may develop Job Search Plans with the claimants and conduct subsequent followup interviews to review the adequacy of the plans and the claimants' efforts to carry them out. The counselors may also, in the course of counseling, develop Job Search Plans.

C. Job Search Plan Prepartion

A Job Search Plan is prepared with the claimant, providing him with needed employment information and suggestions on how to find a suitable job.

Initially, the claimant's occupational interests, qualifications, wage requirements, and feasible work locations are identified. If a claimant wishes or accepts advice to extend his job-search efforts to occupations other than those for which he is directly qualified by training and experience, he should be assisted in this.

Preparation of the Job Search Plan, based on the needs of the individual claimant, includes any or all of the following information:

1. Identification and location of industries utilizing the selected or similar occupations.

2. Names and locations of individual firms known to utilize these occupations. Any general knowledge about specific employers.

3. Public transportation costs and routes from the claimant's home to the areas of potential employment.

4. Wages usually paid to newly-hired workers in the occupations.

5. Information on mode of dress, manner in approaching employer, and appropriate time of day for applying for work

6. Information needed to complete employment application. Suggest to claimant that he prepare a written summary of his employment history starting with last job first, names and addresses of his character references (whose permission to use their names he has previously secured), his education -- schools, courses, and dates completed. From this summary, he can save time in completing his application and leave an impression of competence with the prospective employer.

7. Names and addresses of unions commonly representing workers in the industries or occupations.

8. General information required by employers, such as residency or citizenship (especially by Civil Service and certain defense industries), medical examination, and shift availability.

9. Names and addresses of professional, technical or other societies and agencies that render employment-locating services in specialized occupations.

A plan agreed upon is summarized in writing and a copy provided to the claimant.

D. Sources of Information

Materials used are currently limited to pertinent Department-produced labor-market reports, occupational demand lists, occupational guides, newspapers, transportation maps, union directories, and other local materials as they become available.

Reliance is also placed on job information assimilated by the staff in its daily contacts with other claimants, employers, and unions.

E. Followup

Followup interviews are held with claimants at 1- to 4-week intervals, depending on individual plans and workloads.

The purpose of the followup interview is:

1. To determine the adequacy of the Plan as measured by the results of the claimant's efforts.

2. To determine the adequacy of the claimant's efforts in carrying-out the Plan.

3. To provide any newly available information to the claimant.

4. To revise the Plan as may be required.

5. To reassess claimant's need for employability services or specific job-development assistance by ES staff.

The Job Search Plan and subsequent followup interviews are intended to be of positive assistance in expediting the claimant's return to suitable employment. However, Claims staff cannot ignore persistent lack of genuine job-search efforts, undue restrictions, or job refusals which may become known. When such circumstances arise, action appropriate under the Unemployment Insurance Law is taken.

IX. Staff Duty Statements

Project Director (SPRUCE)

1. Has primary responsibility for accomplishment of SPRUCE project objectives, under the immediate supervision of the Employment Security Superintendent in charge of Unemployment Insurance Operations and the general supervision of the Area Director.

2. Provides supervision for full staff assigned to SPRUCE project.

3. Is responsible for planning, implementing, and establishing procedures to accomplish SPRUCE objectives.

4. Assures coordination of Project activities with all appropriate units within the Department and with other agencies to provide maximum rehabilitation, training, and other services under existing programs, and arranges to purchase or contract for services not otherwise available.

5. Arranges work assignments.

6. Prepares or supervises preparation of progress reports.

Senior Claims Examiner (SPRUCE)

1. Supervises regular UI functions, including certification and claims.

2. Prepares UI and other reports which may be required.

3. Reviews work of UI staff to insure that it stays within the framework of the SPRUCE program concept.

4. Supervises preparation of Job Search Plans and followups by Claims staff.

5. Prepares necessary forms for approval and enrollment of claimants into training.

6. Supervises preparation of pay orders for training, transportation, and incentive allowances.

Senior Employment Counselor (SPRUCE)

1. Supervises counselors and employment interviewers in providing special services to SPRUCE enrollees.

2. Reviews and evaluates the work of the interviewing and counseling staff to determine adequacy and appropriateness of services rendered and to detect and correct possible "stylizing" of solutions -- that is, solutions according to a set formula, instead of by the characteristics of each individual claimant, which are unique in one way or another.

3. Consults with staff members and conducts case conferences to assist staff with difficult problems.

4. Supervises retrieval of records from ES offices.

5. Maintains liaison with outside agencies to insure cooperation and services. Makes specific contractual or other arrangements for provision of medical or other rehabilitative service.

6. Maintains liaison with the ES offices to assure availability of job orders and adequate labor-market information.

7. Prepares periodic reports as required.

Employment Counselor (SPRUCE)

General: Provides complete employment counseling service to claimants who need help in finding work or in realizing their highest occupational potentials.

1. Interviews claimants to determine need for counseling, evaluates all information and obtains additional information if needed (medical records, references, etc.).

2. Helps claimant to identify and understand his problem and how it relates to employment.

3. Analyzes and evaluates all information obtained and plans subsequent interview, including post-test interview when required.

4. Assists claimant to evaluate his assets and relate them to occupational goals.

   a. Utilizes appropriate tests to aid in identifying and evaluating claimant's assets.

5. Assists claimant in formulating a sound vocational plan and takes action agreed upon.

   a. Does job development as required.

   b. Adjusts original plan, if inappropriate.

6. Determines and sets up training and/or educational plans as needed. Uses existing programs or, if none exist, arranges for them under SPRUCE program, subject to approval of supervisors of such programs and SPRUCE program director.

7. Contacts appropriate agencies, such as DVR, that provide required rehabilitation services and arranges for services needed. When required, services may be contracted subject to the approval of the supervisors of such programs and SPRUCE program director.

8. Records all information and actions taken, with reasons for and results obtained in order to better assist claimants and to insure completeness of records.

9. Follows up closely on reemployment of claimants to determine suitability of jobs obtained relative to original plan of action.

10. Prepares daily, weekly and monthly reports as required.

Employment Interviewer (SPRUCE)

1. Interviews claimants to obtain, record, and evaluate information regarding: skills, knowledge, abilities, physical characteristics, aptitudes, personal traits and interests; includes any and all data that may be pertinent in any way to classification, referral, and placement and/or useful in evaluating the SPRUCE program.

2. At outset of Program and as required, conducts in-depth interviews designed to gather information necessary to diagnose and service the claimant's needs.

3. Relates information obtained to services required, such as referral, job-search plan, job development, and referral to a counselor.

4. Refers claimant for rehabilitation assistance, if impairment is minor -- for example, eyeglasses needed to pass a physical.

5. Cooperates fully with claims examiner in developing and improving job-search plans to obtain best results in shortest possible time.

6. Carefully reviews results of referral to determine whether action taken was the best that could be taken.

7. Records all information and actions taken with reasons for results obtained in order to better assist claimants and to insure completeness of records.

8. Follows up closely on reemployment of applicant to determine suitability of job obtained relative to original plan of action.

9. Prepares, maintains, and keeps up to date a complete individual file of contacts and services rendered.

10. Prepares daily, weekly and monthly reports as required.

Claims Examiner (SPRUCE)

1. Those duties performed by Claims Examiners generally.

2. Preliminary interviewing of SPRUCE enrollees.

3. Preparing, following up, and revising job-search plans.

4. Referring qualified claimants on open job orders.

1. Normal Duties of Claims Examiner

   a. Adjudicates claims issues that may arise while claimant is enrolled in SPRUCE program.

   b. Conducts periodic interviews with claimants as required.

   c. Processes overpayments that may occur during claimant's enrollment in SPRUCE project.

2. Preliminary Interviews

   a. Conducts preliminary interviews as described in Outline of Preliminary Interview.

3. Job Search Plan

If the claimant's problem is how and/or where to look for work, the claims examiner develops a job search plan with him, as described in Job Search Plan; this includes job search plan followup and job search plan revision.

4. Referral to Open Job Orders

The claims examiner may contact ES offices and/or Job Bank facilities to determine existing job openings in which job requirements match the claimant's abilities; he may refer the claimant to those jobs.

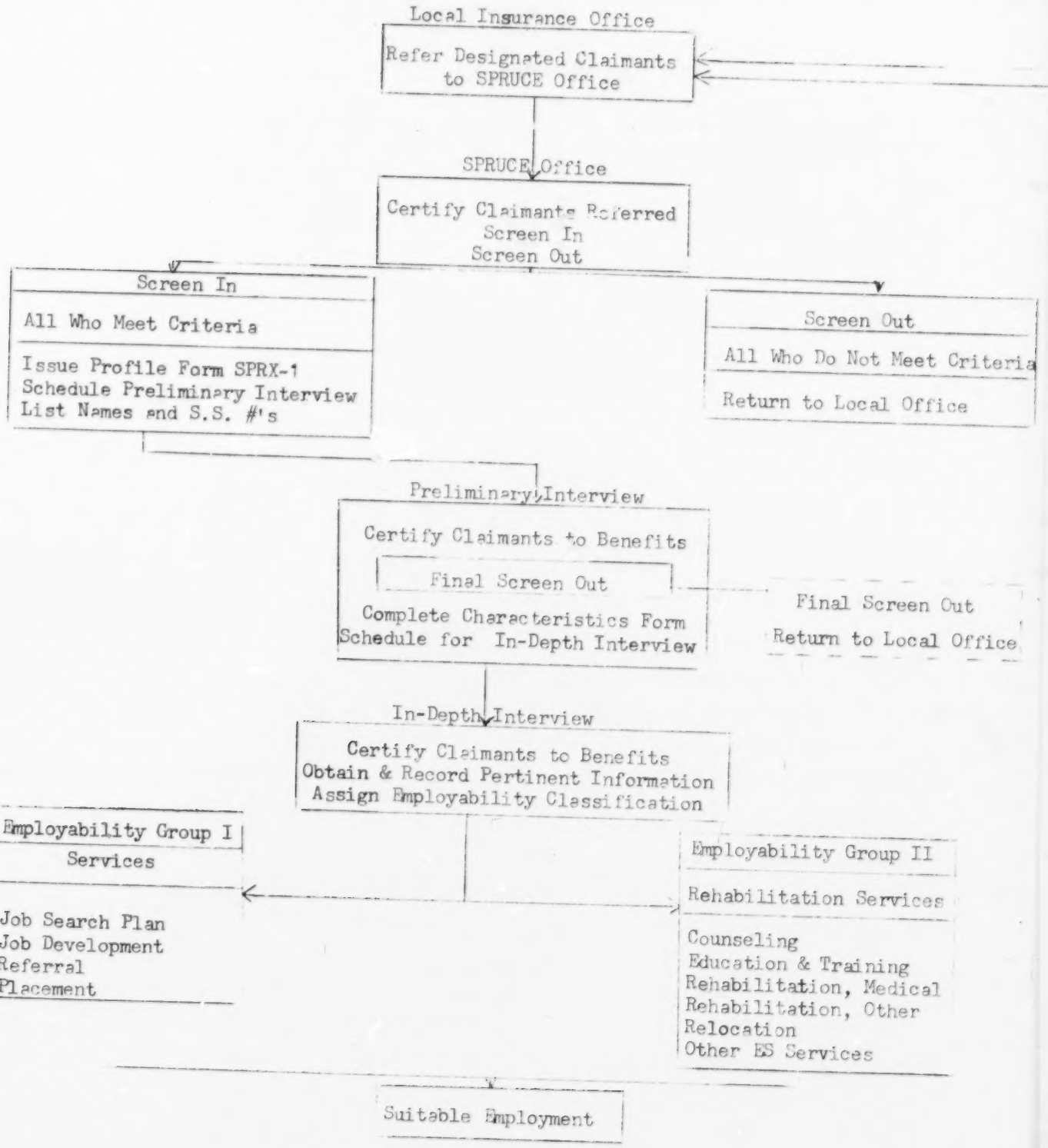
5. Prepares, maintains, and keeps up to date a complete individual file of contacts and services rendered each claimant.

6. Prepares daily, weekly and monthly reports, as required.

NOTE: The purpose of having the claims examiner participate in job referrals and the preparation, followup and revision of job-search plans is not to assume Employment Service activities or responsibilities, but is in accord with the SPRUCE concept of giving the claims examiner an opportunity to provide employment assistance to UI claimants.

Attachment A

CLAIMANT FLOW CHART



Attachment B

NEW YORK STATE DEPARTMENT OF LABOR
Division of Employment
200 Franklin Street
Buffalo, New York 14202

CLAIMANT PROFILE - L.O. 71 and L.O. 72

TO CLAIMANT. Please answer the questions on this form and bring it with you on your next reporting date to Room 201 - 2nd Floor.

1. Name Date
2. Social Security Account Number
3. Age (last birthday) Male ☐ Female ☐
4. Do you have a definite job to return to? Yes ☐ No ☐ If yes, when
   Back to last employer ☐ Promised other work ☐
5. Occupation (JOB TITLE)
6. Name of last employer
   Length of time in his employ
7. Union member? Yes ☐ No ☐ Union (NAME)
8. Length of time unemployed? weeks.
9. Do you feel that you need help in finding a job? Yes ☐ No ☐
10. Item answered by female claimant only:
    a. Did you get married during the past year? Yes ☐ No ☐
    b. Are you pregnant? Yes ☐ No ☐

This Space For Official Use Only

Certifying to week of Code

Certification no. Have weeks of certification been continuous? Yes ☐ No ☐

P.D. marked on L.O. 318? Yes ☐ No ☐

☐ Enrolled
- ☐ Referrable
- ☐ Needs job assistance

☐ Not enrolled
- ☐ Age
- ☐ Employer-attached

☐ Union attached
☐ Other

Explanation -- if necessary:

SPR-1X (3-70) Interviewer Date

Attachment C

SPRUCE CLAIMANT CHARACTERISTICS

1. Name: Last First Middle | 1a. Soc. Sec. Acct. No.

Address: | 2a. Phone No.

3. Also May be Reached at or Through: | 3a. Phone No.

4. Age (last Birthday)

5. Sex
1 Male
2 Female

6. Physical Hdcp.
1 Yes
2 No

7. Vet. Status
1 Vet.
2 Non-Vet.

8. Highest School Grade Completed

9. Marital Status
1 Single
2 Married
3 Widow/widower
4 Div./Leg. Sep.

10. Head of Family or Head of Household
1 Yes
2 No

11. Primary Wage Earner
1 Yes
2 No

12. No. of Dependents
0 4
1 5
2 6
3 7 & over

13. Estimated Average Hourly Earnings on last full time job
$ _____ per hour

14. Yrs. of Gainful Employment
1 Under 1 year
2 1-2 years
3 3-9 years
4 10 years & over

15. Weeks Unemployed
Last 12 months ___ ___
Current Spell _____

16. Public Assistance Recipient in Family
1 Yes
2 No

17. Income: Calendar year 1969
A. Claimant's estimated earnings $ _____
B. Estimated total family income $ _____
C. Number in Family ___ ___

18. Ind. Code | 18a. Primary Occupation Title | 18b. DOT Code

19. Ind. Code | 19a. Last Full Time Job Title | 19b. DOT Code

. Reason for Becoming Unemployed
1 Seasonal
2 Irregular
3 Cyclical
4 Structural
5 Technological
6 Frictional
7 Reduced Employability

21. Barriers to Reemployment (primary barrier circled; secondary underlined if important)
01 None
02 Too Old or Too Young
03 Lack of Education
04 Lack of Skill Training
05 Lack of Experience
06 Obsolete Skill
07 Health
08 Personal
09 Transportation
10 Child Care
11 Care of other Family Member
12 Conviction Record
13 Garnishment
14 Other (Specify under Remarks)

22. Population Group
1 White (exc. Puerto Rican)
2 Negro (exc. Puerto Rican)
3 Puerto Rican
4 American Indian
5 Oriental
6 Other

23. B.Y.E. Date

24. Family Below Poverty Level (per 17 B-C)
1 Yes
2 No

25. H.R.D. Classification
1 Yes-PA (Item 16)
2 Yes-Poverty (24) & Age (4)
3 Yes-Poverty (24) & Handicap (6)
4 Yes-Poverty (24) & Education (8)
5 Yes-Poverty (24) & Pop. Gp. (22)
6 Yes-Poverty (24) & Combination
7 Yes-Special
8 No

26. Employability
Job Ready: 1 IA, 2 IB, 3 IC
Not Job Ready: 4 IIA, 5 IIB, 6 IIC

27. Remarks: (re Item 21/14; or refusal of SPRUCE service; or other detail) .....

_____ Interviewer _____ Date

SPR-2X (3-70) N.Y. Dept. of Labor-D.E.

Attachment D

This page duplicates the front of a manila folder (ES 300) in which were placed the forms shown on pages 65 through 71.

SPRUCE

JOB-SEARCH PLAN

Date

Interviewer

NAME S. S. #

What has client done to look for work prior to Job Search Plan?

What is clients problem?

Evaluation

SPR 300.1X-2

SPRUCE

JOB-SEARCH PLAN

Number

Date

Interviewer

NAME

S.S. #

(Dot)
(Vol)
Page # (III)

OCCUPATIONAL GOAL:

Instructions to Client:

CONTACTS

EMPLOYER	Date	By Whom?	How?	What Happened?
Name		Claimant ☐	Phone ☐	
Address		Interviewer ☐	Visit ☐	
Phone #				
Name		Claimant ☐	Phone ☐	
Address		Interviewer ☐	Visit ☐	
Phone #				
Name		Claimant ☐	Phone ☐	
Address		Interviewer ☐	Visit ☐	
Phone #				
Name		Claimant ☐	Phone ☐	
Address		Interviewer ☐	Visit ☐	
Phone #				
Name		Claimant ☐	Phone ☐	
Address		Interviewer ☐	Visit ☐	
Phone #				
Name		Claimant ☐	Phone ☐	
Address		Interviewer ☐	Visit ☐	
Phone #				
Name		Claimant ☐	Phone ☐	
Address		Interviewer ☐	Visit ☐	
Phone #				

SPR 300.1X (Revised 6/71)

N.Y.-Dept. of Labor-D.E.

Client _____

Counselor _____

DATE: VOCATIONAL PROBLEM. (The problem as the counselee sees it, his reason for coming to the agency and the problem areas the counselor sees must be resolved.)

PERSONAL TRAITS: (Personal characteristics, attitudes, values, motivation.)

PHYSICAL CAPACITIES:

PROBLEM, PERSONAL TRAITS AND PHYSICAL CAPACITIES ES 300 I (1-70)

DATE: SOCIAL AND ECONOMIC FACTORS AND FAMILY RELATIONSHIPS:

LEISURE TIME ACTIVITIES AND INTERESTS:

EDUCATION AND TRAINING:

DATE: WORK EXPERIENCE:

TEST INTERPRETATION:

VOCATIONAL EVALUATION:

VOCATIONAL PLAN:

CONTINUING INTERVIEWS: (Additional data, contacts with counselee or agency regarding vocational development or plan.)

DATE: (Summarize and evaluate)

FOLLOW-UP:
(State what occurred, evaluate, and make recommendations, if any.)

DATE:

CASE CLOSURE: (Reason and Date.)

Attachment E T70-8

NEW YORK STATE DEPARTMENT OF LABOR
Division of Employment
Unemployment Insurance Bureau

TO: DATE: April 8, 1970

FROM: Harold Kasper RE: Guidelines for Payment of Rehabilitation Allowances Under SPRUCE Program

I. General

A. Special Program of Rehabilitation for Unemployment Compensation Exhaustees

1. Many individuals who have enough recent coverage to qualify for unemployment compensation have some inadequacy or problem which hampers their reemployment to such an extent that they are still without jobs when they exhaust their unemployment insurance benefits. These individuals may need special assistance in the way of training, guidance, relocation, minor medical aid or other rehabilitative services in order to get and hold jobs. SPRUCE (Special Program of Rehabilitation for Unemployment Compensation Exhaustees) is a program that would concentrate on serving these potential exhaustees and exhaustees and make available to them the needed services.

B. Definitions of Special SPRUCE Items

1. Exhaustion means that a claimant has received all weekly unemployment insurance benefits (104 effective days) to which he was entitled under State or Federal law or his benefit year has expired.

2. Special rehabilitation period means a one year period beginning with the first week in which an individual receives any SPRUCE rehabilitation service, or for which an allowance for stand-by-time is received. This one year period may be extended for a period not to exceed 13 weeks if at the end of the one year period the individual is in an education course or in training.

3. Stand by time means a period of up to 6 weeks while an individual is awaiting availability of a service included in his rehabilitation plan and a period of up to 4 weeks of unemployment after the service included in his rehabilitation plan has been completed.

C. Demonstration Project

1. To determine the type of services that are effective in getting long term unemployed individuals back to work a demonstration project will be conducted in Buffalo, N.Y. Under this project UI claimants who file for their 13th weekly payment will be screened to segregate those claimants:

a. who are younger than 22 years of age or who are 65 years or older

b. who have marketable skills. U.I. staff will work with these claimants to develop a job search plan

c. who have no marketable skills or who have handicaps which must be corrected to improve their employability. These claimants meet the SPRUCE criteria and will be divided into two categories; a Control group and a Test group. The control group will be afforded the normal local office services; the test group will be afforded the speical rehabilitation services available under the SPRUCE program. Data for both groups will be compiled so that the short and long term effects of special services in reducing long term unemployment can be measured and evaluated.

D. Funds for Payment of SPRUCE Allowances

Federal funds will be allocated to the State for the payment of SPRUCE allowances and services allowances. For administrative convenience allowance payments will be made out of the Occupation Training Account. The IA 408.3, Occupation Training Check, will be used to pay SPRUCE allowances.

E. Rehabilitation Plan /1

1. A rehabilitation plan will be developed for each individual eligible for rehabilitation assistance. The rehabilitation plan may include one or more of the following rehabilitation services:

a. Education and training

b. On-the-job training

c. Medical aid

d. Relocation

F. Rehabilitation Allowances

1. A rehabilitation allowance equal to the amount of the individual's last weekly U.I. may be paid to the individual if he is not eligible for U.I. benefits /2 for any week in which:

a. The individual is being counseled or tested under the SPRUCE program,

b. The individual is receiving a rehabilitation service (other than on the job training, education or training) or for a week of "stand by time."

/1 The initial rehabilitation plan may be revised to include additional rehabilitation services.

/2 For these claimants waiting for or receiving SPRUCE services other than training who are entitled to unemployment insurance benefits (their weekly claims are not expired or exhausted) the local office will continue to process regular unemployment insurance compensation claims.

c. A determination is made that relocation is the most appropriate way an individual can be rehabilitated and for each succeeding week up to and including the week in which the individual starts to work at the relocation job, but in no event for more than 10 weeks.

2. A rehabilitation allowance equal to the amount of the individuals last weekly U.I. plus a $20 incentive amount may be paid to the individual who is pursuing education or training course included in his rehabilitation plan.

a. If the individual qualifies under MDTA the rehabilitation allowance will be the amount of the MDTA training allowance or the amount of the individuals last weekly U.I. plus a $20 incentive amount whichever is higher.

G. Rehabilitation Allowances - Maximum Weeks Payable

A rehabilitation allowance may be paid to a qualified individual for 52 weeks. If an individual is in training in his 52nd week the number of weeks may be increased by the number of weeks needed to complete his training or by 13 weeks whichever is the lesser.

H. SPRUCE Transportation and Subsistence Allowances

1. Transportation Allowances /1

An individual referred to education or training, or as an outpatient to a medical or other rehabilitation service as part of his rehabilitation plan may be paid supplemental allowance to cover his transportation expense.

a. For daily commuting the amount of the transportation allowance will be an amount equal to the cost of the least expensive means of available transportation.

b. For travel from the individual's home to a training facility, medical or other center located outside the commuting area of the individual's home the transportation allowance will be an amount equal to the least expensive means of available public transportation. The amount of this transportation allowance may not exceed $.10 per mile.

/1 The transportation allowance is not payable if transportation is arranged for the individual and paid for by the State Agency; or where the individual is receiving such payment as under another Federal law or program.

2. Subsistence Allowances /1

a. An individual who is receiving a renabilatation service (education, training, medical aid, etc.) at a facility outside the commuting area of his home residence may receive a supplemental subsistence allowance to cover the cost of his separate maintenance. The subsistence allowance will be paid at the rate of $5 per day.

(1) When the training facility furnishes or makes lodgings and meals available to trainees at a rate of $4 or less a day, the subsistence allowance shall not exceed the amount charged for those accommodations plus an allowance of $1 per day for incidentals or when an individual is receiving medical rehabilitation services, under this program, a subsistence allowance will not be paid where the facility rendering the rehabilitation service provides accommodations at the facility for the individual.

I. SPRUCE Expiration Codes

1. The SPRUCE expiration code will be "995". For a second ledger the expiration code will be "985", for a third ledger "975", for a fourth ledger "965", and etc.

2. If the SPRUCE enrollee is put in an MDTA training course the regular MDTA Expiration Code "982" will be the expiration code. For a second ledger the expiration code will be 972, for a third ledger 962, and etc.

J. SPRUCE Account Numbers

1. "9987" number series (9987xxx) will be reserved for SPRUCE Accounts.

2. If the SPRUCE enrollee is put in an MDTA training course the regular MDTA account numbers would be used to control the training allowance payments.

/1 The subsistence allowance is not payable if the individual is receiving such an expense payment for the same period under any other Federal law or program.

K. SPRUCE Allowance Rates

1. Stand by Time and Services Other than Training

a. If a SPRUCE enrollee is not in training, and is undergoing counseling testing, rehabilitation services or is waiting for a service (stand by time) he will be paid a SPRUCE Services Allowance at an amount equal to his former U.I. rate.

2. In Training /1

a. If the SPRUCE enrollee is in training, the amount of the SPRUCE training allowance will depend on whether or not he can meet the qualifications for the MDTA training allowance.

(1) If the enrollee can not meet the requirements for the MDTA training allowance the amount of his SPRUCE training allowance is equal to the sum of his former U.I. plus an incentive of $20.

(2) If the enrollee can meet the requirements for the MDTA training allowance the amount of the SPRUCE training allowance will result from two determinations. The two determinations will be made as follows:

(a) One - The amount of the MDTA training allowance that the enrollee would be entitled to if he were in an MDTA project.

(b) Two - A training allowance which is equal to the sum of his former U.I. plus an incentive of $20.

b. If the amount in item a, (2), (a), above is equal or higher than the amount in item a, (2) (b) the enrollee will be paid a training allowance equal to the amount of the MDTA training allowance.

c. If the amount in item a, (2) (b) above is higher than the amount in item a, (2) (a) the enrollee will be paid a training allowance which is equal to the sum of his former U.I. plus $20.

3. Training In MDTA Course

a. The amount of the training allowance for the SPRUCE enrollee in the MDTA course will be determined as described in item 2, above.

b. If the MDTA training allowance is equal or higher, the enrollee will be paid as an MDTA trainee. This allowance will be processed in Local Office and in Central Office as an MDTA claim. /2

/1 Training allowance payments to the SPRUCE enrollee irrespective of whether or not the enrollee is in MDTA will generally follow MDTA regulations.

/2 This claim for the SPRUCE enrollee entitled to an MDTA training allowance equal or higher than the sum of the enrollee's former U.I. plus $20 will be transmitted in a regular MDTA batch with claims for other MDTA trainees.

(1) For this trainee the regular MDTA forms will be used.

(2) These payments will count only as MDTA payments.

c. If the U.I. plus $20 is higher the enrollee will be paid this amount as a SPRUCE - MDTA training allowance.

(1) For this trainee, for first payments the forms MAT 950, SPR [illegible], MDT 950.2, MAT 950.3, SPR 336.7 and SPR 952.1X will be used; for subsequent payments the form IA 406.3 overprinted with SPRUCE identification will be used.

(2) Central office during its processing will split each training payment into two portions. A portion equal to the full extent of the MDTA training allowance will be charged to a particular MDTA account. The excess or remaining portion will be charged to a SPRUCE Title 1 account.

d. If the enrollee can not meet the requirements for the MDTA training allowance he will be paid a SPRUCE training allowance equal to the sum of his former U.I. plus $20.

(1) For this trainee first and subsequent payments will be processed on the same forms as listed in item c (1) above. Claim payment documents will be included in same batches with the documents for trainees in item c above.

(2) Central Office during its processing will charge full amount of this allowance to a SPRUCE Title 1 account.

4. Training In SPRUCE Course

Training projects entirely financed from SPRUCE funds will be set up to meet the needs of SPRUCE enrollees. Such projects will be identified by two digit SPRUCE MT-1 numbers. SPRUCE identification numbers will range from 50 through 99. /1

The forms used for first and subsequent payments for this trainee will be the same as for trainee in item 3, c, (1), above. Claim payment documents will be transmitted in batches under transmittals (LO 666) noted "SPRUCE".

a. The amount of the training allowance for the SPRUCE enrollee in the SPRUCE project will be determined as described in item 2, above.

b. If the MDTA training allowance is equal or higher the enrollee will be paid this amount as his SPRUCE training allowance rate.

/1 These numbers will be the 5th and 6th digits of the SPRUCE account number, e.g. 998755X, 998756X, etc.

(1) Central Office during its processing will charge the full amount of this training allowance to a SPRUCE title II account.

c. If the UI plus $20 is higher the enrollee will be paid this amount as a SPRUCE training allowance.

(1) Central Office during its processing will split each training payment into two portions. A portion equal to the full extent of the MDTA training allowance amount will be charged to a SPRUCE title II account. The excess or remaining portion will be charged to a SPRUCE title I account.

d. If the enrollee can not meet the requirements for MDTA training he will be paid a SPRUCE training allowance equal to the sum of his former UI plus $20.

(1) Central Office during its processing will charge the full amount of this training allowance to a SPRUCE title I account.

5. Training In Other Courses - SPRUCE Single Referrals

To enable the SPRUCE enrollee to take advantage of the widest range of training the enrollee will be referred to training other than those described in item 3 and 4, above, on a SPRUCE Single Referral basis. This would include training under the State Training Program (STP) and approved training in available vocational schools.

The forms used for first and subsequent payments to the SPRUCE Single Referral trainee will be the same as for trainee in item 3, c, (1) above claim payment documents will be included in same batches with the documents for for trainee in item 4 above.

a. The amount of the training allowance for the SPRUCE Single Referral trainee will be determined as described in item 2, above.

b. If the MDTA allowance is equal or higher the enrollee will be paid this amount as his SPRUCE training allowance rate.

(1) Central Office during its processing will charge the full amount of this training allowance to a SPRUCE Single Referral title II account.

c. If the UI plus $20 is higher the enrollee will be paid this amount as his SPRUCE training allowance.

(1) Central Office during its processing will split each training payment into two portions. A portion equal to the full extent of the MDTA allowance will be charged to a SPRUCE Single Referral title II account. The excess or remaining portion will be charged to a SPRUCE title I account.

d. If the trainee can not meet the requirements for MDTA training he will be paid a SPRUCE training allowance equal to the sum of his former UI plus $20.

(1) Central Office during its processing will charge the full amount of this training allowance to the SPRUCE title I account.

L. Reduced SPRUCE Allowances /1

SPRUCE allowances to enrollees not in training will be reduced because of earnings in excess of 20 hours.

SPRUCE training allowances will be reduced because of days of unexcused absence and because of earnings in excess of 20 hours.

1. SPRUCE Training Allowance Reduced for Unexcused Absence

For each day of unexcused absence (as determined by a training facility) the weekly amount of the SPRUCE training allowance payable will be reduced by an amount computed by dividing the SPRUCE training allowance otherwise payable by the number of days of training normally scheduled in a week.

a. EXAMPLE

Trainee who has five dependents formerly paid U.I. at $60.
Full weekly SPRUCE training allowance $80. ($60 + $20)
Full weekly MDTA training allowance $77 ($52 + $25 for 5 dep.) /2
Five days of training normally scheduled per week.
Trainee has 1 day of unexcused absence.

Reduction is based on 1 day or 1/5.

	Full Allowance		Amount Reduced	Reduced Allowance	
SPRUCE Training Allowance	$80	less	$16		$64
MDTA Training Allowance portion	$77	less	$15.40	$61.60	$62 (rounded
SPRUCE portion					$22

The reduced SPRUCE training allowance will be $64.

b. Central Office Account Charges

(1) Central Office during its processing will split this reduced training allowance of $64 into two portions. The $62 portion will be charged to a particular MDTA account or SPRUCE Title II account; the $2 portion will be charged to a SPRUCE Title I account.

(a) If the trainee does not meet the requirements for the MDTA training allowance the entire amount of the reduced SPRUCE training allowance of $64 will be charged to a SPRUCE Title I account.

/1 The MDTA rules for reducing allowance will apply to SPRUCE allowances. If a reduced training allowance amount is not in even dollars, it is rounded to the next higher dollar.
/2 In this example, the 2nd quarter 1970 MDTA basic regular training allowance of $52 is used. The $52 rate is effective with weeks starting on 4/6/70 (week ending 4/12/70).

2. SPRUCE Training Allowance Reduced for Earnings

The weekly SPRUCE training allowance will be reduced by an amount equal to the trainee's earnings for hours worked in excess of 20 hours a week.

a. EXAMPLE

Trainee who has 5 dependents formerly paid U.I. at $60.
Full weekly SPRUCE training allowance $80. ($60 + $20)
Full weekly MDTA training allowance $77 ($52 + $25 for 5 dep.)
SPRUCE portion $3 ($80 less $77)

Trainee worked 25 hours in one week at $2 per hour. Training allowance must be reduced by an amount equal to earnings for hours in excess of 20 hours. $10 (5 hrs @ $2) is amount of reduction.

The reduced SPRUCE training allowance will be $70.

MDTA training allowance portion $77 less $10 =	$67
SPRUCE portion	$ 3
	$70

b. Central Office Account Charges

(1) Central Office during its processing will split this reduced training allowance of $70 in two portions. The $67 portion will be charged to a particular MDTA account (or SPRUCE Title II account;) the $3 portion will be charged to a SPRUCE Title I account.

(2) If the trainee does not meet the requirements for the MDTA training allowance the entire amount of the reduced SPRUCE training allowance of $70 will be charged to a SPRUCE Title I account.

K. SPRUCE Allowances to Public Assistance Recipients

1. A SPRUCE trainee who is a public assistance recipient and receives a money payment under Title I, IV, IX, X, XIV, and XVI of the Social Security Act will be paid a SPRUCE incentive allowance in lieu of a SPRUCE training allowance. The amount of the SPRUCE incentive allowance will be $30. ($20 incentive payment plus $10 for expenses).

2. If the trainee meets the requirements for the MDTA training allowance the Central Office will charge the $30 to:

a. The MDTA account representing the MDTA training project in which the trainee is enrolled, or

b. The SPRUCE Title I account if the trainee is enrolled in a training project other than MDTA.

3. If the trainee does not meet the requirements for the MDTA training allowance the Central Office will charge the $30 to the SPRUCE Title I account.

N. Local Office Batching of SPRUCE Claims

1. First Claim Assembly - Local Office will assemble:

   a. For SPRUCE enrollee not in training:

      (1) SPR 952.1, Desk Payorder - SPRUCE
      (2) SPR 336.7, SPRUCE Allowance Control Card /1
      (3) MDT 950, Entitlement Questionnaire
      (4) SPR 950X, Determination of Entitlement

   b. For SPRUCE enrollee in training:

      (1) SPR 952.1, Desk Payorder
      (2) SPR 336.7, Desk Payorder - SPRUCE
      (3) MDT 950, Entitlement Questionnaire
      (4) SPR 950X, Determination of Entitlement
      (5) SPR 950.2, Notice of Selection and Referral to Training
      (6) SPR 950.3 (furnished if trainee is eligible for subsistence and/or transportation allowance)
      (7) MDT 951 (furnished if trainee is enrolled in MDTA project and qualifies for MDTA allowance)

   c. Local Office will transmit first claim assembly documents listed in items a. and b., above, under a transmittal (LO 666) noted "SPRUCE" and "Firsts" to the Original Claim Subsection.

2. Subsequent Claims - Local Office will transmit form IA 406.9, Payorder for SPRUCE Payments, under a transmittal noted "SPRUCE" and "Subsequent" to the Benefit Payment Subsection.

O. Disqualifications Under the SPRUCE Program

1. An individual may not receive any type of allowance or any rehabilitation service under this program for a week that begins within one year following the date:

   a. He terminates prior to completion for other than good cause an education or training course which he was taking in accordance with his rehabilitation plan.

   b. He refuses without good cause to undertake or complete the service proposed for him in a rehabilitation plan after having accepted such plan.

/1 Until form SPR 336.7 is developed and printed Local Office will use the LO 336.7.

0. Disqualification Under the SPRUCE Program (Cont'd)

c. A determination is made that such individual made a false statement or representation of a material fact knowing it to be false or knowingly to have failed to disclose a material fact in order to obtain or increase for himself or another any service or allowance payment under this program.

d. He is terminated without good cause by the training institute. But if the individual is terminated through no fault of his own, he should not be disqualified.

e. He has an existing disqualification under the MDTA program. This disqualification applies only to education or training included in his rehabilitation plan.

II. Central Office Processing

RESPONSIBILITY	ACTION
Special Processing Unit Original Claim Subsection	1. Examine the SPRUCE documents in each first claim assembly, (See items I, N, 1, a, and I, N, 1, b, above) and: a. Check that the documents are for the same enrollee (or trainee) and that social security account numbers agree. b. If the documents are for different enrollees, remove assembly from batch and prepare and attach a form IA 433, Original Claim Exception Notice. (1) Correct the number of claim figures on form LO 666 to reflect the claim removed from the batch. (2) Send the form IA 433 and the attachments to the SPRUCE Local Office. 2. Send the SPRUCE Allowance Control Cards /1 to the Files Unit via the Receiving and Examining Unit. 3. Examine each SPR 950X, Determination of Entitlement to SPRUCE Allowances, and ascertain that entries furnish information re: a. Enrollee identification - name and social security account number. b. Dates for Rehabilitation Period. c. Determination as to type of allowance. See items 4 and 5 below. 4. If item "a", SPRUCE Services Allowance (Not in Training) is checked (✓), verify that the weekly rate and duration (number of weeks) are shown.

/1 For a temporary period, until the SPRUCE Allowance Control Card is printed, the LO 336 7, MDTA Allowance Control Card, containing SPRUCE data will be used.

Special Processing Unit
Original Claim Subsection (Cont'd)

5. If an item other than "a" is checked (✓):

   a. Verify that there is data in the "MDTA Qualification" box and if the check (✓) is:

      (1) "No," verify that there is a check (✓) for item "e".

      (2) "Yes," verify that there is a check (✓) for item "b," "c," "d," or "f" and that amounts equal to the weekly rates for both the enrollees' former UI plus $20, and his MDTA training allowance (regular, augmented, or increased) entitlement are shown.

         (a) When the check (✓) is for item "b," verify that an MDTA MT-1 No. ("XXXX") is shown.

         (b) When the check (✓) is for item "c," or "d," verify that a SPRUCE MT-1 No. ("XX") is shown.

   b. Verify that the weekly rate (higher rate) and the duration (number of weeks) are shown.

6. Hold aside SPRUCE first claim documents until the Files Unit completes its processing of SPRUCE Control Cards against the Claim Control File. /1

7. Examine each form IA 401.1 received from the Files Unit and process as described in items 8 and 9, below.

/1 The form IA 401.1, Record of MDTA Data from Claim Control File, will be used by the Files to advise the Special Processing Unit of information for SPRUCE claims it finds during its search of the Claim Control file.

Special Processing Unit
Original Claim Subsection (Cont'd)

8. Return a first claim assembly (stapled to its IA 401.1) to the SPRUCE Local Office when the form IA 401.1 shows:

   a. An existing disqualification under the SPRUCE program.

   b. An existing disqualification under the MDTA program /1 and the form SPR 950X shows a determination for training.

   c. An unliquidated overpayment under the SPRUCE program.

   d. An unliquidated overpayment under the MDTA program and the SPR 950X shows a check (✓) in item "b."

   e. SPRUCE rehabilitation allowances exceed 52 ("SPRUCE Renab. Exceed 52").

   f. MDTA training allowances exceed 104 ("MDTA Train. Exceed 104") and the SPR 950X shows a check (✓) in item "b".

9. Continue to process the remainder of first claim assemblies and include with this group any first claim assembly for which a related IA 401.1 shows:

   a. An existing disqualification under the MDTA program and the SPR 950X shows a check (✓) in item "a" for SPRUCE Services Allowance (Not in Training).

      (1) Send the IA 401.1 to the SPRUCE Local Office to advise them of MDTA disqualification.

   b. "Previous MDTA Course" and "New Claim Processed" - Use the expiration code on the IA 401.1 as the MDTA expiration code in the MDTA "T/C 01" box on the SPR 950X. See item 11, a, (1), below.

   c. "Previous SPRUCE Determination" and "New Claim Processed" - Use the expiration code on the IA 401.1 as the SPRUCE expiration code in the SPRUCE "T/C 01" box on the SPR 950X. See item 11, b, (1), below.

   d. Destroy the forms IA 401.1 after use in items "b" and "c" above.

/1 This will include the IA 401.1 showing "Previous MDTA Course." In this case the data on the LO 336.7 indicates that a year has not elapsed since the ending date of the previous MDTA course.

Special Processing Unit
Original Claim Subsec
tion (Cont'd)

10. Process forms MDT 951 as now. /1

11. From the data on the SPR 950X and data, if any, from the Claim Control File determine the expiration code.

    a. If there is a check (✓) in item "b" of SPR 950X, use 982 as the expiration code.

        (1) When the data indicate that this is a second training course, use "972," third use "962," etc.

            (a) Line out the "982" preprinted in the "MDTA Accession Transaction (T/C 01)" box and enter "973," "962," or "952," as appropriate.

    b. If there is a check (✓) in other than item "b," of the SPR 950X, use "995" as the expiration code.

        (1) When the data indicate that this is a second determination use "985," a third use "975," etc.

            (a) Line out the "995" preprinted in the "SPRUCE Accession Transaction (T/C 01)" box and enter "985," or "975," or "965," as appropriate.

12. Examine the form SPR 952.1X, Desk Payorder - SPRUCE, and verify that:

    a. The weekly rate shown in the "Rate" box is in agreement with the rate shown on the form SPR 950X.

    b. That the type of allowance being paid is in agreement with the determination data shown on the SPR 950X.

13. Enter the expiration code determined for the SPR 950X in the "Exp. Code" box of the SPR 952.1X.

14. Edit the data on the form SPR 952.1X for keypunching in the same manner as the MDT 952.1 (under the MDTA program) is edited and coded.

/1 If an SPR 950X shows a check (✓) in item "b," a form MDT 951 will be submitted by the Local Office. In this case the MDTA portion of the training allowance (UI + $20) will be charged to an MDTA project. Procedure 69-21 describes the processing of forms MDT 951.

Special Processing Unit
Original Claim Subsection (Cont'd)

15. Send the forms SPR 952.1X under its transmittal noted "SPRUCE" and "FIRST" to the Card Preparation Subsection, Electronic Data Processing Section, via the Receiving and Examining Unit.

16. Send the SPRUCE "wage documents" SPR 950X (with attachments MDT 950, MDT 950.2 and MDT 950.3) to the Examining and Batching Unit.

Files Unit
Original Claim Subsection

17. Process SPRUCE Claim Control Cards against the Claim Control File in generally the same manner as for MDTA Control Cards, and as described in items 18 and 19, below.

18. If there is only a U.I. claim card for the same enrollee in file, file the SPRUCE Claim Control Card.

19. If there is a card in file for the same enrollee for:

a. An existing disqualification (ineligibility) under the SPRUCE program:

(1) Prepare a form IA 401.1, and enter on it the expiration date of the disqualification.

(2) Staple the SPRUCE Claim Control Card to the IA 401.1.

b. An existing disqualification under the MDTA program and the SPRUCE Claim Control Card shows:

(1) A determination for "Not in Training," file the SPRUCE Claim Control Card.

(a) Prepare an IA 401.1,

1 Enter on it MDTA disqualification expiration date of the disqualification, the Local Office which imposed the disqualification and new SPRUCE claim processed for not in training (e.g. MDTA Disq. date "XX/XX/X", L.O. No. "XXX," "New SPRUCE Claim Proc. - Not in Training").

Files Unit
Original Claim Subsection (Cont'd)

(2) A determination for training.

(a) Prepare a form IA 401.1 and enter on it the Local Office which imposed the disqualification and the expiration date of the disqualification.

(b) Staple the SPRUCE Claim Control Card to the IA 401.1.

c. An unliquidated overpayment under the SPRUCE program and the:

(1) SPRUCE Claim Control Card is stamped "Do Not Return Claim a/c Unliquidated Overpayment," file the SPRUCE Claim Control Card.

(2) SPRUCE Claim Control Card is not stamped as in item (1) above, enter on the IA 401.1 "IA 859 - SPRUCE" and the SPRUCE overpayment data from the IA 859.

(a) Staple the SPRUCE Claim Control Card to the IA 401.1.

d. An unliquidated overpayment under the MDTA program and the SPRUCE Claim Control Card shows the trainee is enrolled in an MDTA course and qualifies for an MDTA training allowance.

(1) If the SPRUCE Claim Control Card is stamped "Do Not Return Claim a/c Unliquidated Overpayment," file the SPRUCE Claim Control Card.

(2) If the SPRUCE Claim Control Card is not stamped as in item (1) above, enter on the IA 401.1, "IA 859 SPRUCE - MDTA" and the MDTA overpayment data from the IA 859.

(a) Staple the SPRUCE Claim Control Card to the IA 401.1.

e. Previous SPRUCE Rehabilitation Allowance

(1) Add the number of Rehabilitation shown on the new SPRUCE Claim Control Card to the previous number shown on the card in file, and if the total:

Files Unit
Original Claim Subsection (Cont'd)

(a) Does not exceed 52,

1 Prepare an IA 401.1 and enter on it "New SPRUCE Claim Processed" and the Expiration code "XXX" /1 for the SPRUCE claim.

2 Staple the new SPRUCE Claim Control Card to the old SPRUCE Claim Control Card and refile.

(b) Does exceed 52

1 Prepare a form IA 401.1 and enter on it SPRUCE Rehabilitation Allowances exceeds 52 ("SPRUCE Rehab. Exceed 52").

2 Staple the new SPRUCE Claim Control Card to the IA 401.1.

f. Previous MDTA Allowances and the SPRUCE Claim Control Card shows determination for training in MDTA project and that enrollee qualifies for MDTA training allowance.

(1) Add the number of SPRUCE - MDTA Allowances on the SPRUCE Claim Control Card to the previous number of MDTA training allowances shown on the MDTA Control Card in file and if the total:

(a) Does not exceed 104, file the SPRUCE Claim Control Card.

1 Prepare a form IA 401.1, enter on it, "Prev. MDTA Course" - "New SPRUCE - MDTA Claim Processed" - and the MDTA expiration code /2 for the SPRUCE - MDTA claim.

(b) Does exceed 104

1 Prepare an IA 401.1 and enter on it MDTA training allowances exceed 104 ("MDTA Training - Exceed 104").

2 Staple SPRUCE Claim Control Card to IA 401.1.

20. Send the forms IA 401.1 with (or without) SPRUCE Claim Control Cards attached to the Special Processing Unit.

/1 This would be SPRUCE expiration code "985" for a second SPRUCE determination, "975," for a third determination etc.

/2 This would be MDTA expiration code "972" for second MDTA training course, "962," for a third training course.

Files Unit
Original Claim Subsection (Cont'd)

21. Upon receipt of a card showing a SPRUCE disqualification, file it in the Claim Control File.

Examining and Batching Unit
Original Claim Subsection

22. Examine the data shown on the SPR 950X, Determination of Entitlement, and use it for setting up the ledger accession transaction.

a. Enter the following ledger accession data items in the "T/C 01" box of the SPR 950X.

(1) Expiration Code - The Special Processing Unit will have determined the proper expiration code.

(a) If there is a check (✓) in box for items a, c, d, e, or f, the code is 995. (985, 975, 965, etc.).

(b) If there is a check (✓) in box for item b, the code is 982 (972, 962, 952, etc.).

(2) Rate - The local office will have determined weekly rate and entered it in the "Weekly Rate" box of the SPR 950X.

(3) Effective Days - Convert number of weeks shown in "Duration" box to effective days (Number of weeks X 4).

(4) Account

(a) If there is a check (✓) in box for items a, e, or f, the pertinent account is printed on the SPR 950X.

(b) If there is a check (✓) in box for item b, use the MDTA MT-1 NO. to form the required account.

(c) If there is a check (✓) in box for items c, or d, use the SPRUCE MT-1 NO. to form the required account.

23. If the account checked (✓) on the MDT 950X is a clearing suspense account prepare the IA 96.9, Control Card Special Claims. Data for this control card is described in items 23, a, and 24, below.

a. Use the IA 87, Special Claim Form, to show the effective days the portions of the weekly rate, and the detail accounts for which the clearing suspense account was used in the ledger accession transaction.

Examining and Batching Unit
Original Claim Subsection
(Cont'd)

(1) For the portion of the weekly rate equal to the amount of the enrollee's MDTA training allowance entitlement, the account is 9987XX1, /1 SPRUCE Training Allowance - Title II.

(a) If the trainee is enrolled in an MDTA course this portion would be charged to the MDTA Training Allowance account, 99XXXX1. /2

1 Where this trainee had not exhausted his UI (and his benefit year had not expired) the chargeable account account would be the MDTA increased training allowance account, 99XXXX5.

(2) For the portion of the weekly rate in excess of the amount of the enrollee's MDTA training allowance entitlement, the account is 9987011, SPRUCE Training Allowance - Title I.

24. From the information on the IA 87, enter on the form IA 96.9, the following:

a. The social security account number and the enrollee's (trainee) name.

b. The weekly training allowance rate (former UI rate + $20) and the expiration code.

c. The word(s) "SPRUCE" or "SPRUCE - MDTA".

d. The chargeable MDTA training allowance account or the SPRUCE training allowance account - Title II, and the portion of the weekly rate equal to the trainee's MDTA training allowance rate entitlement.

e. The SPRUCE training allowance Title I account (9987011) and portion of the weekly rate in excess of the amount of the trainee's MDTA training allowance rate entitlement.

/1 The "XX" represents the two digit SPRUCE MT-1 NO.
/2 The "XXXX" represents the four digit MDTA MT-1 NO.

Examining and Batching Unit
Original Claim Subsection
(Cont'd)

f. The total number of effective days chargeable to the account.

25. Prepare a form IA 301, Batch Route Sheet.

a. Stamp it "SPRUCE."

b. Note it "T/C 01."

c. Enter on it batch number and the number of records. (Forms SPR 950X)

26. Send the forms SPR 950X under cover of the IA 301 to the Card Preparation Subsection.

27. Send the forms IA 96.9 to the Adjustment Unit.

Card Preparation Subsection
Data Processing Section

28. List batch of SPRUCE first claims on the form IA 664.3, Card Preparation Control Sheet. (On the same sheet as used for MDTA but identify the entry as SPRUCE)

29. From the information on each form SPR 952.1X, Desk Payorder - SPRUCE, keypunch /1 a blank tabulating card, form IA 406.9X, Payorder For SPRUCE Payments, as follows:

Item	No. of Col.	Columns
Local Office "0071"	4	1 - 4
Col. 5 and 6 are blank	2	5 - 6
Zip Code	5	7 - 11
Expiration code	3	12 - 14
Column 15 is blank	1	15
Rate	4	16 - 19
N. Y.	2	20 - 21
S.S. Account Number	9	22 - 30
MDTA - SPRUCE ident. 12 position	1	23
Enrollee's Name	15	31 - 45
Street Address	19	46 - 64
City	16	65 - 80

a. Key verify the punched payorder processing card (IA 406.9X).

/1 The keypunching instructions for punching the SPRUCE payroder processing cards are exactly the same as for MDTA.

Card Preparation Subsection
Data Processing Section
(Cont'd)

30. Place batch of forms SPR 952.1X and the corresponding keypunched (and keyverified) payorder processing cards in tray for pick-up by the Receiving and Examining Unit.

31. List batch of forms SPR 950X received under cover of form IA 301 noted "SPRUCE" and "T/C 01" on the form IA 620.21, Batch Control by keypunch and keyverification operators.

32. From the information on each SPR 950X:

a. Keypunch a form IA 552 as follows:

Item	No. of Col.	Columns
Trans. Code "01"	2	1 - 2
Card Code "8"	1	3
S.S.A. Number	9	4 - 12
Expiration code	3	13 - 15
Rate	2	16 - 17
Blank Columns	20	18 - 37
Effective Days	3	38 - 40
Chargeable Account	7	41 - 47
Blank columns	31	48 - 78
Identification 12 pos.	1	79
Blank columns	1	80

b. Keyverify the punched form IA 552.

33. Send the keypunched and keyverified forms IA 552 together with its applicable form IA 301 to the Adjustment Unit.

34. Send the processed SPRUCE Wage Reports (SPR 950X and attachments) to the Files Unit.

Receiving and Examining Unit
Tax Processing Subsection

35. Pick up batch of SPRUCE first claims and keypunched payorder processing cards from the Card Preparation Subsection.

36. Give the forms SPR 952.1, Desk Payorder - SPRUCE, to the Payment Subunit.

37. Give the forms IA 406.9X, Payorder for SPRUCE Payments to the Electric Accounting Machine Subsection.

Electric Accounting Machine
Subsection,
Data Processing Section

38. Reproduce the keypunched SPRUCE processing cards /1 into blank forms IA 406.9X, Payorder for SPRUCE Payments. /2

39. Interpret both sets of cards. /2

40. Send the interpreted keypunched processing cards to the Payment Subunit for clerical assembly operations.

41. Send the interpreted reporduced SPRUCE prepunched payorder cards to the Mail and Service Unit for mailing to the SPRUCE Local Office (LO 71).

42. Upon receipt of punched first claim processing cards (after check processing operations have been completed), reproduce and interpret an additional set of cards.

    a. Sort both sets of cards with miscellaneous SPRUCE prepunched payorder cards by the last four digits of the social security account number.

    b. Send the sorted SPRUCE prepunched payorder processing cards to the Mail and Service Unit for mailing to the SPRUCE Local Office (LO 71).

43. Reproduce the group of SPRUCE subsequent payorder cards into blank forms IA 406.9X.

44. Return the group of SPRUCE subsequent payorder cards to the Payment Subunit.

45. Interpret the reproduced SPRUCE prepunched payorder cards.

46. Send the reproduced and interpreted SPRUCE prepunched payorder cards to the Mail and Service Unit for mailing to the SPRUCE Local Office (LO 71).

/1 The Card Preparation Subsection keypunched these processing cards from first claim desk payorders (SPR 950X).

/2 The instructions for the reproduction and interpretation of punched SPRUCE payorder cards are exactly the same as used for the reproduction and interpretation of the punched MDTA payorder cards.

Payment Subunit, Payment Unit, Benefit Payment Subsection

47. Arrange group of SPRUCE first claims (SPR 952.1X) and the corresponding keypunched and interpreted payorder processing cards (IA 406.9X) for assembly with denominated cards. /1

48. Determine and assign the most common statutory week for the group being assembled.

    a. Write the most common statutory week on the form LO 666 in blank space under the box headed "Date Claims Forwarded."

49. Match each SPR 952.1X, Desk Payorder - SPRUCE (checked "FIRST") with the corresponding SPRUCE payorder processing card.

50. From the payment information shown on the SPR 952.1X, insert denominated cards if required by type of payment in back of the appropriate SPRUCE payorder processing card as described in items 55 through 58 below.

51. Process SPRUCE subsequent claims (IA 406.9X - or the SPR 952.1X "paper payorder" if the IA 406.9X was not available to local office) for preparation of prepunched payorder processing cards. /2

52. Get the Electric Accounting Machine Subsection to reproduce and interpret the SPRUCE prepunched payorder processing cards.

53. Arrange the SPRUCE subsequent claims for the assembly operation.

54. Determine and assign the most common statutory week for the SPRUCE subsequent claim group being assembled.

    a. Write the most common statutory week on form LO 666, in blank space under the box headed "Date Claim Forwarded."

/1 Denominated cards will be used for SPRUCE payments in the same manner as they are used for MDTA payments.

/2 During this operation SPRUCE claims which require the keypunching of new forms IA 406.9X are removed (these are those with corrections and "paper desk payorders" which need punched forms IA 406.9X).

Payment Subunit, Payment Unit, Benefit Payment Subsection

55. If a payorder shows a payment for a SPRUCE allowance /1 at the full weekly rate for the common statutory week, do not insert a denominated card. /2

56. If a payorder shows a payment for a SPRUCE allowance at the full weekly rate for other than the common statutory week, insert a denominated card containing the other than the common statutory week.

57. If a payorder shows a SPRUCE training allowance at the full weekly rate for the common statutory week, a subsistence allowance for the common statutory week, and a daily transportation allowance for the common statutory week:

a. Insert three denominated cards as follows:

/1 In this case SPRUCE allowance means either the SPRUCE Services Allowance (Not in Training) or the SPRUCE Training Allowance.

/2 Denominated cards used in the SPRUCE program will be punched exactly as in the MDTA program. Required payment items are punched in denominated cards as follows:

Items	No. of Col.	Columns
Four effective days	1	1
Statutory week		
Month	2	7 - 8
Day	2	9 - 10
Year	1	11
Identification 11 pos. punch	1	12
Amount (Col. 36 is blank if amount is under $100)	5	36 - 40

In addition, the above denominated cards will contain special punches to identify the following types of payments:

For adjustment of previous underpayment, 11 position punch in column 13.
For adjustment of previous overpayment, 11 position punch in column 14.
For reduced SPRUCE allowance (because of compensated hours or unexcused absence) 11 position punch in column 24.
For an excess cash repayment, or an excess offset repayment, 11 position punch in column 25.
For daily transportation allowance payment, 11 position punch in column 29.
For other transportation allowance, 11 position punches in columns 27 and 29.
For a subsistence allowance payment, 11 position punch in column 30.

Payment Subunit, Payment Unit
Benefit Payment Subsection (Cont'd)

(1) One with no amount.

(2) One with an 11 position punch in column and the amount of the subsistence allowance.

(3) One with an 11 position punch in column 29 and the amount of the transportation allowance.

58. If payorder shows a SPRUCE allowance for the common statutory week which is reduced becuase of earnings, insert a denominated card with an 11 position punch in column 24 and the amount of the reduced allowance.

a. If payorder showed a reduced allowance for other than the common week the denominated must contain the other than common statutory week in addition to the 11 position punch in column 24 and the amount of reduced allowance.

59. After the assembly operation is complete, place the assembly group of payorder processing cards in a separate tray.

a. Identify tray label as "SPRUCE" and "FIRST" or "SUBSEQUENT" as appropriate.

60. Place the tray of assembled SPRUCE payorders on table at head of subunit for pickup by the Receiving and Examining Unit.

Receiving and Examining Unit
Tax Processing Subsection

61. Get the batches of assembled groups of SPRUCE payorders (first or subsequent) from the Payment Subunit.

62. Assign the warrant number by selecting the next prepunched MDTA Warrant Master Card from the Warrant Master Card File and write on the:

a. Warrant Master Card

(1) "SPRUCE - MDTA" for program identification.

(2) Check (✓) in the box headed "MDTA" and in box headed:

(a) "First," if type of warrant is for first payments.

(2) "Redet," if type of warrant for redeterminations.

Receiving and Examining Unit
Tax Processing Subsection

(c) "Ex.," if type of warrant is for correct exception payorders.

(3) Social security account number for the first payorder in the SPRUCE warrant group.

b. Transmittal sheet (LO 666); the warrant number ("XXXXX") which is interpreted on the Warrant Master Card.

63. Stand up the first payorder in tray containing payorders for warrant assigned in item 62, above.

a. Hold aside tray of payorders until the Warrant Master Card is punched.

64. Give the Warrant Master Card and related LO 666 to the Corrections Subunit.

Corrections Subunit, Payment Unit,
Benefit Payment Subsection

65. From data written on the Warrant Master Card, keypunch into the Warrant Master Card:

a. Code "1" if the warrant is for a first claim warrant, or code "2" if the warrant is for a redetermination warrant. Punch the code in column 22.

b. Code "8" for "MDTA" or ("SPRUCE - MDTA") in column 23.

c. 11 position punch in column 24, if there is a check (✓) in the "Ex." box.

d. Most common statutory week in columns 56 through 60. (This was written on the LO 666 by the Payment Subunit).

66. Give the keypunched Warrant Master Card and LO 666 to the Receiving and Examining Unit.

Receiving and Examining Unit
Tax Processing Subsection

67. Place the Warrant Master Card in front of the pertinent group of payroder processing cards. (The S.S. Account Number written on the Warrant Master Card must be the same as interpreted on the card standing upright. See item 63 above.)

68. Write the warrant number on form LO 666 (on all forms LO 666 if more than one) and attach to the applicable group of SPRUCE "paper" payorders.

69. Retain the LO 666 and the applicable paper payorders in warrant number order in unit file.

70. Post the warrant number of the SPRUCE warrant group ready for submission to EDP on the Warrant Control Work Sheet.

    a. Identify the posted warrant number as "SPRUCE".

71. At designated time carry the assembled warrant group of SPRUCE payorder processing cards to EDP.

72. After computer processing is complete (at designated time) pick up the computer processed SPRUCE warrant groups. /1

73. Get the form LO 666 and paper attachments for the computer processed SPRUCE warrant from the Unit File. (The warrant number on top of warrant listing must match warrant number on the LO 666.)

74. Ascertain that the warrant listings, payorders, and checks are proper for the warrant group.

75. Process the computer processed SPRUCE warrant group in the same manner as MDTA warrant groups are processed, except identify:

    a. Any form IA 647 Payorder Exception Notice, prepared for a rejected SPRUCE payorder as "SPRUCE".

    b. "Warrant Face Sheet" as "SPRUCE - MDTA".

    c. Postings of SPRUCE warrant group data to the IA 42.13, Daily Abstract of Disbursements, as "SPRUCE".

/1 The computer processed SPRUCE warrant group will consist of warrant listings (IA 427), SPRUCE payorders, Warrant Master Card, and printed checks in odd and even check number stacks.

Receiving and Examining Unit
Tax Processing Subsection
(Cont'd)

76. Send the processed SPRUCE warrant group of checks; payorders, warrant lists, and envelope containing cancelled checks (if any) to the Department of Audit and Control.

Examining and Batching Unit,
Original Claim Subsection

77. Post the dollar value of the SPRUCE warrant group of payorder and warrant listings to the control ledger in the column of ledger identified is SPRUCE.

78. Reconcile any warrant showing a revised total because of a cancelled or rejected check.

79. Send the SPRUCE warrant group of payorders and warrant listings to the Adjustment Unit.

Adjustment Unit
Benefit Payment Subsection

80. File the forms IA 96.9, Control Card Special Claims, in the Special Claim Control File by social security account number.

81. Retain the SPRUCE warrant group of payorders and warrant listings in unit file for reference in processing journal entries for "split charges." See item 83, below.

82. Upon the receipt of form IA 551, Adjustment Card, (computer dump)/1 :

a. Get the pertinent IA 96.9 from the Special Claim Control file.

b. If the IA 551 has a reduced payment (code 6) get the payorders from the warrant group of payorders stored in the unit file.

83. Based on the payment control data shown on the IA 96.9 (and the payorder if there is a reduced payment) process a journal entry which includes two debit transactions as follows:

a. One debit transaction (T/C 40) for the amount portion (equal to the MDTA training allowance entitlement) chargeable to the title II account or the MDTA account as appropriate.

b. The other debit transaction (T/C 40) for the excess amount portion (in excess of the MDTA training allowance entitlement) chargeable to the title I account.

/1 The computer is programmed to dump an adjustment card (IA 551) as a result of processing a payment transaction against a ledger containing the SPRUCE clearing suspense accounts ("9987XX6" or "99XXXX6").

Adjustment Unit
Benefit Payment Subsection
(Cont'd)

84. After the computer processing of journal entry input for "slip charges" is completed, send the appropriate warrant group of payorders to the Payorder Files Unit.

85. Upon receipt of a procedure /1 noting that the Manpower Administration has made a determination for a revision of the weekly amount of the MDTA regular training allowance:

a. Get form IA 96.9 containing SPRUCE control data, and,

b. Draw single lines through the control amount portion for Title II or MDTA account and Title I account.

(1) Write in the new amount portions and enter the first effective week ending date.

c. Refile the form IA 96.9.

/1 Each quarter, Central Office issues a procedure covering the Manpower Administration determination for the MDTA regular training allowance amount. This procedure lists the first and last week ending date to which the determined rate applies.

2nd Draft - 10/17/69

Attachment F

REGULATIONS OF THE SECRETARY OF LABOR IMPLEMENTING THE E AND D SPRUCE PROJECT

Subpart A--General

Section
700.1 Definitions.
700.2 Counseling and testing.
700.3 Rehabilitation plan.
700.4 Rehabilitation services.

Subpart B--Allowances and Other Payments

700.10 Effective date of program.
700.11 Qualifications.
700.12 Types and amounts of allowances.
700.13 Transportation allowances.
700.14 Subsistence allowances.
700.15 Duration.
700.16 Deductions.
700.17 Duplicate payments.
700.18 Disqualifications.

Subpart C--Relocation Assistance

Section
700.20 Relocation Allowance afford
700.21 Eligibility. ed
700.22 Time within which relocation must take place.
700.23 Certification required.
700.24 Amounts allowable.
700.25 Allowance for travel.
700.26 Allowance for transporting household goods and personal effects.
700.27 Time and method of payment.
700.28 Relocation in good faith.

Subpart D--Overpayments

700.30 Penalties.
700.31 Overpayments.

Subpart E--Determinations and Review

700.40 Determinations.
700.41 Reconsideration and review.

Subpart A--General

Sect. 700.1 Definitions.

As used in this part, unless the context clearly indicates otherwise, the term:

(a) "Applicable State law" means the unemployment compensation law of New York State.

(b) "Average weekly manufacturing wage" means the national gross average weekly earnings of production workers in manufacturing industries for the latest calendar year as officially published by the Bureau of Labor Statistics of the Department of Labor before the beginning of the period (week) for which the assistance under this program is payable.

(c) "Average weekly unemployment compensation payment" is the average gross payment for a week of total unemployment in the State of New York. Any unemployment compensation payment reduced because of income, such as pension payments, social security benefits, workmen's compensation, wages in lieu of notice railroad unemployment benefits, dismissal payments, vacation pay, and residual payments for less than the full weekly benefit amount, or those reduced or increased by an adjustment for an overpayment or an underpayment in previous weeks is disregarded when computing such weekly average unemployment compensation payment. The computation will also exclude payments under 5 U.S.C., chap. 85 (formerly title XV).

(d) "Basic education" means elementary education usually in the general areas of reading, writing, language skills and arithmetic.

(e) "Base Period" means the base period as determined under New York State law for the benefit year.

(f) "Benefit Year" means the benefit year as defined in New York State law.

(g) "Commuting area" means the area that is found by the State agency to be within commuting distance of the city, town, or other place where the individual maintains his regular place of residence.

(h) "Exhaustion" means that an individual has exhausted his rights to regular unemployment compensation under State or Federal law:

(1) When no payments of regular unemployment compensation can be made under such laws because such individual has received all regular unemployment compensation available to him based on employment or wages during his base period, or

(2) When his rights to such compensation have been terminated by reason of the expiration of the benefit year with respect to which such rights existed and he has insufficient weeks of employment and earnings to establish a new benefit year.

(3) Except that no individual will be considered to have exhausted his rights when such individual has been disqualified under a State or Federal unemployment compensation law in his most recent benefit year until the end of such disqualification period or where there is no such period, until the expiration of the benefit year.

(i) "Family" means the following member or members of an individual's household whose principal place of abode is with the individual in a house he maintains or would maintain, but for his unemployment:

(1) Spouse;

(2) An unmarried child (including a step or adopted child) under 21 years of age or of any age if he is incapable of self-support because of a mental or physical incapacity;

(3) Any other person for whom the individual would be entitled to a deduction for income tax purposes under the Internal Revenue Code of 1954.

(j) "Good cause" means justifiable reasons determined in accordance with a standard of conduct expected of an individual acting as a reasonable person in the light of all the circumstances, and includes but is not limited to reasons beyond the control of the individual or factors connected with the capabilities of the individual.

(k) "On-the-job training" means a training project, or that part of a training project, which uses instruction combined with work to qualify an individual for a particular occupation.

(l) "Regular place of residence" means the city, town, or other site where an individual maintains his principal place of abode.

(m) "Regular unemployment compensation" means unemployment compensation payable to an individual under New York State unemployment compensation law or under 5 U.S.C., chapter 85, other than additional compensation.

(n) "Secretary" means the Secretary of Labor of the United States, or his authorized representative.

(o) "Special rehabilitation period" means the one-year period beginning with the first week in which an individual receives any SPRUCE rehabilitation service, or for which an allowance for stand-by-time is received. The special rehabilitation period may be extended for a period not to exceed 13 weeks if at the end of such one-year period, the individual is in an education course or is in training. However, no period may be extended beyond _____-1971.

(p) A SPRUCE "rehabilitation allowance" is any cash payment made to an individual for a week:

(1) in which he receives counseling or testing after his exhaustion, or

(2) in which he is receiving any rehabilitation service included in his rehabilitation plan, or for a week of stand-by-time, provided, that the cash payment received is not a cash payment under the State or Federal law, or a cash payment under the Manpower Development Training Act, except that when any cash payment supplements a Manpower Development Training Act payment, such supplement is a SPRUCE rehabilitation allowance.

(q) "Stand-by time" means a period of up to 6 weeks while an individual is awaiting availability of a service included in his rehabilitation plan and a period of up to 4 weeks of unemployment after the service included in his rehabilitation plan has been

completed provided that he is actively seeking employment.

(r) "State agency" means the New York State Department of Labor, Division of Employment.

(s) "State law" means the New York Unemployment Insurance Law.

(t) "Trainee" means an individual who is undergoing training as part of his rehabilitation plan.

(u) "Training" means a planned and systematic sequence of instruction to which an individual has been referred by the State agency, given under competent supervision designed to impart predetermined skills, knowledge, or abilities to prepare such individuals for suitable employment, and may include, to the extent necessary, instruction in basic subjects given specially in relation to an occupation.

(v) "Week" means a week as defined in the New York State Unemployment Insurance Law.

Sect. 700.2 Interviewing, Counseling and Testing.

(a) A prompt intensive interview and counseling and testing, if appropriate, to determine if a rehabilitation plan shall be developed for an individual shall be afforded to each claimant for unemployment compensation under New York State law or 5.U.S.C., chap. 85 who is selected for the test group of the project.

Sect. 700.3 Rehabilitation plan.

(a) The State agency will develop a rehabilitation plan for an individual who files an application for rehabilitation assistance if it is found by the State agency that:

(1) The individual cannot reasonably be expected to secure appropriate full-time employment without such service or services; and

(2) There is a reasonable expectation that the individual will secure appropriate full-time employment as a result of such service or services.

(b) The plan. A rehabilitation plan may include any one or more of the following services:

(1) Education and training,

(2) On-the-job training,

(3) Medical services, and

(4) Relocation.

(c) Supplemental plan. If the State agency finds that the initial rehabilitation plan developed for an individual is not being successful in obtaining its goals, the plan may be revised to include any additional rehabilitation services contained in section 700.4 as deemed necessary. When the State agency revises either a completed or incompleted rehabilitation plan, written justification for such revision shall be made a part of the individual's records.

(d) Relocation. If relocating is a part of or the individual's rehabilitation plan, and it is found upon relocating that such individual needs counseling or related supportive services described in section 700.4, the State agency will initiate a supplemental rehabilitation plan by revising the initial rehabilitation plan.

Sect. 700. 4 Rehabilitation services

A rehabilitation plan may include any one or more of the following rehabilitation services:

(a) Education and training. The training or education to which the State agency may refer an individual as part of or his rehabilitation plan is:

(1) Education and training under section 202 of the Manpower Development and Training Act of 1962, as amended; or

(2) Approved education and training which further the purposes of this project including refresher, re-orientation, and skill upgrading programs.

(b) On-the-job training. The State agency may refer an individual to on-the-job training when such training is a part of or the individual's rehabilitation plan; Provided, the on-the-job training program meets the requirements of section 204 (b) of the Manpower Development Training Act of 1962, as amended.

(c) Relocation. If the State agency determines that relocation shall be a part of or an individual's rehabilitation plan, the State agency may relocate such individual within the State, provided the individual meets the eligibility requirements, in accordance with Subpart C.

(d) Medical services. An individual who has been deemed to be qualified for rehabilitation assistance may receive medical services as part of or his rehabilitation plan provided that any such services are not available within a reasonable period of time under any other agreement that provides for payment of such service in behalf of the individual. Such services shall include medical, surgical, dental and psychological services; visual, hearing or orthopedic aids; or other appropriate rehabilitation services including hospital, clinical or convalescent care; which for the purpose of this program, are limited to such services as are appropriate for an individual who meets the unemployment compensation test of capable and available for work when he applies for such services, but whose employability is adversely affected by his need for such services.

(e) Limitation. Payment for a rehabilitation service as described in paragraph (d) for any individual qualified for SPRUCE services shall not exceed $1,000. Any expenditure of more than $500 for such services for any individual shall be

made only after approval by the Executive Director of the New York State agency or the Director of the Unemployment Insurance Bureau, and such authorization must be made prior to the rendering of the service.

Subpart B--Allowances and Other Payments

Sect. 700.10 Effective date of program.

Rehabilitation assistance allowances shall be payable to qualified individuals for weeks of eligibility beginning after _____. However, no payments will be made after _____.

Sect. 700.11 Qualifications.

To qualify for special rehabilitation assistance an individual must meet each of the following requirements:

(a) He must file an application for such assistance in accordance with instructions and on forms which shall be furnished to the individual by the State agency.

(b) Such application must be filed by the unemployed individual with respect to a special rehabilitation period within a period of time as determined by the State agency.

(c) He must be willing to follow a rehabilitation plan developed for him and furnished to him by the State agency.

(d) He must be at least 22 years of age and not have passed his 65th birthday.

(e) He must have no rights under the Trade Expansion Act of 1962 (P.L. 87-794), the Automotive Products Trade Act of 1965 (P.L. 89-283), or any other similar law which may be enacted.

(f) He must be entitled to unemployment compensation under a Federal or State law when he files his application for rehabilitation assistance.

Sect. 700. 12 Types and amount of allowances.

Weekly Rehabilitation Allowance. A rehabilitation allowance shall be payable to an eligibile individual for any week:

(a) In which the individual is being counseled or tested under this project provided he is not eligible for unemployment compensation under a Federal or State law. The amount payable shall be an amount equal to the last weekly benefit amount which was payable to him under the State law or 5 U.S.C., chap. 85.

(b) In which the individual is receiving a rehabilitation service (other than on-the-job training, or education training) included in his rehabilitation plan, or for a week of stand-by-time provided he is not eligible for unemployment compensation under a Federal or State law. The amount payable shall be an amount equal to the last weekly benefit amount which was payable to him under the State law or 5 U.S.C., chap. 85.

(c) In which the individual is pursuing an education or training course included in his rehabilitation plan. The amount payable shall be an amount equal to the last weekly benefit amount which was payable to him under State law or 5 U.S.C., chap. 85 prior to his entering the course plus an incentive payment of $20. Provided any individual who qualifies for a payment under Title II of the Manpower Development and Training Act of 1962, as amended shall receive such payments or an amount equal to his last weekly benefit amount plus an incentive payment of $20, whichever is higher. In any week for which MDTA payments are less than allowances allowed under SPRUCE, the difference shall be paid as a SPRUCE supplement. However, no full rehabilitation allowance shall be paid to any person for any period for which a money payment has been made with respect to the need of that person under a State plan which has been approved under Title I, IV, X, XIV, or XVI of the Social Security Act and which meets the requirements of sub-section 203(1)(2) of the Act.

In lieu of payment of a full rehabilitation allowance such persons shall be paid payments and expense allowances as follows:

(1) Rehabilitation allowances shall not exceed $20 per week of training;

(2) Transportation and subsistance allowances to defray expenses attributable to training including transportation within the commuting area, shall not exceed $10 per week of training;

(3) The combined amount of the rehabilitation allowances and transportation and subsistance allowance paid to a trainee during any week of training may not, however, exceed the amount of the MDTA training allowance for which he would be eligibile except for the receipt of public assistance benefits under the Social Security Act.

(d) In which the State agency has determined that relocation is the most appropriate way an individual can be rehabilitated. For each week beginning with the week in which the State agency has determined that relocation within the State is the most appropriate way an individual can be rehabilitated up to an including the week in which he starts to work at the relocated job, but in no event for more than 10 weeks, the amount payable shall be an amount equal to the individual's last weekly benefit amount which was payable to him under the State law or 5 U.S.C., chap. 85 provided he is not eligible for unemployment compensation under a Federal or State law.

Sect. 700.13 Transportation Allowances.

(a) Eligibility. An individual who is receiving rehabilitation services under the SPRUCE program, other than relocation may be afforded such supplemental assistance as is necessary to defray his transportation expense, except that he shall not receive such assistance if transportation is arranged for him as part of a group and is paid for by the State agency or Secretary or to the extent that he has received such payment under another Federal law.

(b) Travel from outside commuting area.

(1) An individual referred to education, training or on-the-job training as part of his rehabilitation plan outside the commuting area of his residence is eligible for an allowance not to exceed the rate of $0.10 per mile to defray the cost of travel at the beginning and end of his training program by the least expensive means of transportation reasonably available between his home and the area of training.

(2) An individual who has been referred to a medical or other rehabilitation service under this program, as part of his rehabilitation plan, outside the commuting area of his residence is eligible for an allowance not to exceed the rate of $0.10 per mile to defray the cost of travel at the beginning and termination of the service to be rendered

by the least expensive means of transportation reasonably available between his home and the area where the service will be rendered.

(c) Transportation within commuting area.

(1) An individual referred to education or training as part of his rehabilitation plan and commutes between his residence and the training facility is eligible for an allowance in the amount equal to the cost of the daily local transportation by the least expensive means of transportation reasonably available less 50 cents a day up to a maximum deduction of $2.50 a week:

Provided however, that the transportation allowance shall be paid without reduction where the State agency determines that such payments are necessary in order for the trainee to undertake or continue training.

(2) An individual engaged in on-the-job training, however, shall not be eligible for such allowance for any week in which he has been offered compensated work by the on-the-job employer for a full workweek customary in the industry for the occupation for which he is being trained.

(3) An individual who has been referred as an out-patient to a medical or other rehabilitation service under this program, as part of his rehabilitation plan, and such service is rendered at a facility within commuting distance of the

individual's residence is eligible for an allowance in the amount equal to the cost of the local transportation by the least expensive means of transportation reasonably available, with the same limitations as stated in (1) above.

d. Method of payment.

A transportation allowance will be paid to an eligible individual upon his filing a completed request, in accordance with instructions furnished to him by the State agency.

(e) Ineligibility. An individual who is ineligible for an allowance in accordance with section 700.18 shall also be ineligible for a transportation allowance, except that in case of termination of training; or failure to complete a rehabilitation service, an individual in training or receiving a rehabilitation service outside the commuting area may be eligible for such a transportation allowance in accordance with section 700.13(b) as may be necessary to enable him to return to his regular place of residence.

Sect. 700.14 Subsistence allowances.

(a) Eligibility. An individual who is receiving rehabilitation services, under this program, other than relocation may be afforded such supplemental assistance as is necessary to defray his expense for separate maintenance when the facility providing the rehabilitation service is located outside the commuting area of the individual's regular place of residence, except that he shall not receive such assistance for any period to the extent that he is receiving it for that period under another Federal law.

(b) Amount. In determining the amount of a subsistence allowance the exact days that elapse shall be taken into account beginning with the day when the individual departs and ending with the day in which he returns. Travel time shall not exceed the time required by the mode of public transportation that the individual could reasonably be expected to take to and from his regular place of residence.

Subsistence allowance shall be paid at the rate of $5. per day: Provided: That when the training facility furnishes or makes lodgings and meals available to trainees at a rate of $4 or less a day, the subsistence allowance shall not exceed the amount charged for those accommodations plus an allowance of $1 per day for incidentals or when an individual is receiving medical rehabilitation services, under this program, a subsistence allowance will not be paid where the facility rendering the rehabilitation service provides accommodations at the facility for the individual.

(c) Request for subsistence allowance. Subsistence allowance will be paid to an eligible individual upon the completion and filing of a written request in accordance with instructions issued and provided to the individual by the State agency.

(d) Ineligibility. Persons ineligible for an allowance in accordance with section 700.18 shall also be ineligible for a subsistence allowance.

Sect. 700.15 Duration.

(a) Weekly rehabilitation allowances as defined under section 700.12, supra, shall not be paid to any individual for more than 52 weeks, (except as stated in section 700.12(c), which need not be consecutive weeks. However, such weeks must occur within an individual's special rehabilitation period or before _____ _____, whichever occurs first.

(b) The special rehabilitation period for an individual is a one-year period as defined in section 700.1.

(c) The special rehabilitation period and the 52 week limitation on rehabilitation allowances stated in section 700.15(a) may be extended for a period not to exceed 13 additional weeks, if at the termination of his one-year period the individual is participating in an education course or receiving training. However, no period may extend beyond _____.

Sect. 700.16 Deductions.

(a) An allowance otherwise payable to an individual for a week under section 700.12 shall be reduced for:

(1) Employment, other than employment under an on-the-job training program, which is in excess of 20 hours per week. The allowance payment shall be reduced in an amount equal to an individual's full earnings for hours worked in excess of 20 hours per week. Earnings as used in this paragraph shall mean remuneration for services, the receipt of which is applied to reduce the amount of unemployment compensation due under the State unemployment law.

(2) Employment of an individual undergoing on-the-job training as part of his rehabilitation plan. The allowance payment shall be reduced by an amount which bears the same ratio to that payment as the number of compensated hours per week under the training program bears to forty hours; that is, the allowance shall be reduced by 2-1/2 percent of such allowance for each

compensated hour of the week spent in work under the training program. The allowance shall not be reduced for employment other than employment under on-the-job training which does not exceed 20 hours per week, but the individual's allowance shall be reduced in an amount equal to his full earnings for hours worked, other than employment under on-the-job training, in excess of 20 hours per week. Earnings as used in this paragraph shall mean remuneration for services, the receipt of which is applied to reduce the amount of unemployment compensation due under the State unemployment insurance law.

(3) Each day of absence, without good cause, from education or training, by an amount computed by dividing the allowance or payment to which he would otherwise by entitled by the number of days of training normally scheduled in the week. For this purpose, holidays which would otherwise by days of training shall be considered as days of training normally scheduled.

(b) If any allowance payment determined in accordance with the provisions of this section is not a multiple of a dollar, it shall be increased to the next higher multiple of a dollar.

Sect. 700.17 Duplicate payments.

No individual is entitled to receive a rehabilitation allowance under this program for any week for which the individual is receiving or has received:

(a) An allowance under the Manpower Development and Training Act of 1962, as Amended; or

(b) A payment under the Trade Expansion Act of 1962 of the Automotive Products Trade Act of 1965 or under any other similar law. However, a supplement to his MDTA allowance may be paid in accordance with Section 700.1 (p).

Sect. 700.18 Disqualifications.

(a) An individual may not receive any type of allowance or any rehabilitation service under this program for a week that begins within one year following the date:

(1) He terminates prior to completion for other than good cause an education or training course which he was taking in accordance with his rehabilitation plan; or

(2) He refuses without good cause to undertake or complete the service proposed for him in a rehabilitation plan after having accepted such plan.

(3) He was deemed ineligible under section 20.32(b) of the MDTA regulations. This disqualification only applies to education or training included in his rehabilitation plan.

(b) An individual who has completed his rehabilitation services and refuses without good cause an offer of suitable work shall be denied any allowance payments for the remainder of his stand-by period as defined in accordance with section 700.1.

(c) An individual may not receive any type of allowance or any rehabilitation service under this program for a week that begins within one year following the date a determination is made that such individual made a false statement or representation of a material fact knowing it to be false or knowingly to have failed to disclose a material fact in order to obtain or increase for himself or another any service or allowance payment under this program.

(d) An individual may not receive any type of allowance or any rehabilitation service provided under this program for a week that begins within one year following the week in which such individual was terminated without good cause on the part of the individual by the training institute or by the on-the-job training employer: Provided, That if an individual is terminated through no fault of his own, he shall not be disqualified and:

(1) If there is available to such individual suitable education, training or service, and he accepts such education, training or service, his right to any cash allowances under section 700.12 may be paid for a period not to exceed 6 weeks; or

(2) If after a period of 6 weeks has elapsed from the week of termination there becomes available to such individual suitable education, training or service, his right to any cash allowances under section 700.12 may be paid for any week thereafter in which he accepts such education, training or service.

Suppart C - Relocation Assistance

Sect. 700.20 Relocation assistance afforded.

Relocation assistance may be granted to an individual, where a relocation is included as part of his rehabilitation plan, to assist such individual and his family, if applicable, in relocating within New York state, subject to the terms and conditions of this subpart.

Sect. 700.21 Eligibility.

To be eligible for relocation assistance an individual must meet each of the following requirements:

(a) He must file an application for relocation assistance in accordance with instructions and on forms furnished to the individual by the State agency.

(b) It must be determined by the State agency that the individual cannot reasonably be expected to secure suitable employment in the commuting area in which he resides.

(c) He must indicate in connection with his rehabilitation plan his willingness to relocate to another area to accept suitable work.

(d) He must have obtained suitable employment, or a bona fide offer of such employment, affording a reasonable expectation of long-term duration in the area in which the individual desires to relocate.

(e) He must be entitled to unemployment compensation under a Federal or New York State law, or must have exhausted all rights to such compensation.

(f) He must relocate within a reasonable period after he applies for such relocation assistance, or if he is undergoing education, training or has been referred to another rehabilitation service, he must relocate within a reasonable period after the conclusion of such education, training or rehabilitation service, provided, however, such relocation must occur within the individual's rehabilitation period or prior to 1971, whichever occurs first.

Sect. 700.22 Time within which relocation must take place.

In determining whether an individual has met the requirement of Subsection 700.21(f) that he relocate within a reasonable period after he applies for relocation assistance, or, if he is undergoing education, training or another rehabilitation service within a reasonable period after the conclusion of such education, training, or service, the following considerations among others, shall be taken into account:

(a) Whether suitable housing is available in the area of relocation;

(b) Whether the individual can dispose of his regular place of residence; and

(c) Whether the individual or any member of his family is ill.

The reasonable period will expire six months from the date of the individual's application for relocation assistance,or six months after the conclusion of his education, training or other rehabilitation service, whichever is applicable, unless the Director of the State agency finds that the individual has good cause for an extension

of the period. In no event may the reasonable period extend beyond 12 months from the date of the individual's application for relocation assistance or after the conclusion of his education, training, or other rehabilitation service, or beyond the last day of his special rehabilitation period, or after 1971, whichever event occurs first.

Sect. 700.23 Certification required.

Before relocation assistance may be granted to an individual, the following certification must be made:

(a) The Director of the Employment Service of New York State must certify that the individual has met the requirement in Subsection 700.21(b) and the applicable requirement in Subsection 700.21(d).

Sect. 700.24 Amounts allowable for relocation.

In addition to any weekly rehabilitation allowance an individual may qualify for under section 700.12, allowances for relocation shall be limited to:

(a) The reasonable and necessary travel expenses of the individual and his family, if applicable, and the reasonable and necessary expenses of transporting the household goods and personal effects (not to exceed eleven thousand pounds net weight) of the individual and his family, if applicable, from his regular place of residence to his home in the area of relocation, and

(b) A lump sum equal to two and one-half times the average weekly manufacturing wage in effect on the date such sum is paid.

Sect. 700.25 Allowances for travel.

Allowances for the travel of the individual and his family, if applicable, shall be computed as follows:

(a) Commercial carrier. For travel by commercial carrier the individual shall be paid the reasonable expenses of such travel of himself and his family, if applicable, not to exceed the cost of the most economical public transportation the individual and his family, if applicable, can reasonably be expected to take from his regular place of residence to his home in the area of relocation.

(b) Privately owned automobile. For travel by privately owned automobile the individual shall be paid $0.10 per mile for the mileage of the usually traveled route between his regular place of residence and his home in the area of relocation. No additional allowance for mileage shall be payable to the individual if accompanied by any of his family on the same trip and in the same automobile. If the individual claims for mileage under this paragraph, he may not claim a travel allowance also under paragraph (a) of this section for himself or for any

member of his family except where a family member (or members), for lack of suitable housing in the area of relocation, or for other good cause, such as illness or school attendance, delays the family member's (or members') departure and thereafter the member (or members) travels separately to the relocation area. If any such family member (or members) is subsequently transported by privately owned automobile, the individual claiming relocation assistance shall be paid the lesser of -

(1) Ten cents per mile for the mileage of the route traveled, or

(2) The total cost of transporting all of such family members, who travel in the same automobile, by the most economical public transportation that can reasonably be taken from the family's regular place of residence to their home in the area of relocation.

(c) For a family member who is absent from the family's regular place of residence and must travel separately, the individual claiming relocation assistance shall be allowed the cost of the most economical public transportation such family member can reasonably be expected to take from the place

where such member is then staying or from the family's regular place of residence to their home in the area of relocation, whichever is less.

In no case may an individual be paid for the transportation of himself or any member of his family, if applicable, more than once in connection with a relocation.

Sect. 700.26 Allowances for the expenses of transporting household goods and personal effects.

Allowances for the expenses of transporting the household goods and person effects of an individual and his family, if applicable, shall be computed as follows:

(a) Commercial carrier. (1) For transportation of the household goods and personal effects of the individual and his family, if applicable, by commercial carrier from the individual's regular place of residence to his home in the area of relocation, the individual shall be paid the actual cost of such transportation, including such accessorial charges (with the exception of charges for crating) as are found by the State agency to be reasonable and necessary, by the most economical commercial carrier service he reasonably can be expected to use for such purpose. Before undertaking such transportation, the individual must submit to the State agency an estimate from a commercial carrier,

regularly engaged in the handling and shipment of household goods, covering the cost of transporting the household goods and personal effects of the individual and his family, if such individual has a family to be relocated.

(2) The cost of insuring the household goods and personal effects of the individual and his family, if applicable, against loss or damage in transit by commercial carrier shall be paid by the State agency as part of the allowance provided for by subparagraph (1) of this subsection, except that if the State agency determines that it is more economical to transport such household goods and personal effects by paying the commercial carrier an extra charge of $0.50 for each 100 pounds shipped to assume the full responsibility of a common carrier with respect to such household goods and personal effects, such extra charge (in no case to exceed $55.) shall be paid in lieu of the cost of insurance. In cases where insurance is obtained the individual must submit to the State agency two bids from legally licensed insurers offering to insure the household goods and personal effects of the individual and his family, if applicable, at least as adequately as if the individual were shipping the household goods andppersonal effects of himself and his family, if applicable, by fully liable common carrier.

The State agency shall examine the offered insurance for adequacy and cost and shall pay the individual the cost of procuring that legally adequate policy of insurance which is most economical, except that in no case shall a State agency pay the cost of insuring the household goods and personal effects of an individual and his family, if applicable, in an amount exceeding their actual value or $10,000, whichever amount is the lesser.

(b) Trailer. For transportation of the household goods and personal effects of the individual and his family, if applicable, by trailer, or by house trailer used as a home, the individual shall be paid:

(1) Twelve cents a mile, covering the trailer or house trailer, where such trailer or house trailer is hauled by privately owned automobile, or

(2) The actual charge made for such hauling, where the trailer or house trailer is hauled by a commercial carrier regularly engaged in and equipped for such hauling.

No allowance shall be made for a house trailer not used as a home or a trailer not used for transporting the household goods and personal effects of the individual and his family, if applicable. These amounts shall be paid in addition to the transportation allowance for an

inidvidual and his family, if applicable, under section 700.25 (b).

(c) Allowance for mileage. Under paragraph (b) of this section, computation of allowances for mileage shall be based on the mileage of the usually traveled route between the individual's home at his regular place of residence and his home in the area of relocation.

Sect. 700.27 Time and method of payment.

(a) Allowances covering the expenses of travel of the individual and his family, if applicable, and the expenses of transporting the household goods and personal effects as provided under section 700.24 (a) shall be paid as follows:

(1) The appropriate allowance for expenses of travel computed pursuant to section 700.25 may be paid to the individual at the time of departure of the individual and his family, if applicable, from his regular place of residence for the area of relocation, or within 10 days prior to such scheduled departure, except that the expenses of travel of a family member, if applicable, who travels separately may be paid to an individual at the time of such family member's departure or within 10 days prior thereto. However, no allowance may be paid after 1971.

(2) If the travel is to be by privately owned automobile with an attached trailer transporting the household goods and personal effects of the individual and his family, if applicable, the appropriate allowance computed pursuant to section 700.26 (b) may be paid to the individual at the time of departure of the individual and his family, if applicable, from his regular place of residence to the area of relocation or within 10 days prior to such departure.

(3) If transportation of the household goods and personal effects of the individual and his family, if applicable, is to be by commercial carrier, the amount of the estimate for such transportation approved by the State agency pursuant to section 700.26 (a) and the amount of any insurance covering such household goods and personal effects approved by the State agency shall be advanced by checks in such amounts payable respectively to the order of the individual and the carrier named in such estimate and to the order of the individual and the insurer. The checks may be delivered to the individual at the time of the scheduled shipment or within 10 days prior thereto. Upon completion of the transportation the individual must promptly submit to the State agency the original

or a certified copy of the bill of lading prepared by the carrier, including a receipt evidencing payment of the transportation costs. The individual shall with such submittal reimburse to the State agency the amount, if any, by which the advance made to him for such transportation was in excess of the actual cost. The individual shall be paid the amount, if any, by which the actual cost approved by the State agency exceeds the advance made to him for such purpose. Where economy of administration will result, the State agency may make arrangements with the carrier or insurer selected by the individual and approved by the State agency pursuant to section 700.25 (a) for transportation of the household goods and personal effects of the individual and his family, if applicable, for insurance coverage of such goods during transit, and for payment of the cost of such transportation or insurance coverage by the State agency directly to the carrier or insurer. No such arrangement shall release the carrier from liability for loss or damage to the individual's goods.

(4) If the transportation of such household goods and personal effects is to be by trailer which is hauled by a commercial carrier, the individual must submit

to the State agency an estimate of the cost of such hauling from a carrier regularly engaged in and equipped for such service. The amount of such estimate, but not to exceed $0.30 a mile, shall be advanced by check payable to the order of the individual and the commercial carrier. The check may be delivered to the individual at the time of the scheduled transportation or within 10 days prior thereto. Upon completion of the transportation, the individual must promptly submit to the State agency a receipted bill from the carrier evidencing payment of the actual hauling charges. The individual shall with such submittal reimburse to the State agency the amount, if any, by which the advance made to him for such hauling was in excess of the actual hauling charges. The worker shall be paid the amount, if any, by which the actual hauling charges approved by the State agency, or $0.30 a mile, whichever is the lesser, exceeds the advance made to him for such hauling.

(b) The lump sum allowance provided in section 700.24 (b) shall be paid to an individual when arrangements have been completed for the relocation of the individual and

his family, if applicable, and for the transportation to the area of relocation of his household goods and personal effects. In no such case, however, may the lump sum allowance be paid to an individual more than 10 days before the anticipated date of departure of his household goods. If the individual is not transporting any household goods, the allowance shall be paid to him when he and his family, if applicable, have been relocated. In such a case the relocation takes place when he and his family, if applicable, have actually moved to the area of relocation, and the mere fact that a member of his family failed to move shall not mean that relocation has not taken place if there was good cause for such failure, unless such member is the only member of the individual's family.

Sect. 700.28 Relocation assistance received in good faith.

(a) Any relocation allowance provided by section 700.24 (a) received in good faith by an individual for transportation which has been completed shall not be deemed to be an overpayment if it subsequently develops that the relocation is not completed, except that the allowance shall be deemed an overpayment if the failure to complete the relocation is attributable to the individual

and he did not have good cause for such failure. Any such relocation allowance received by an individual for transportation which is not completed shall be deemed an overpayment even though such allowance was received by the individual in good faith.

(b) Any lump sum allowance provided for by section 700.24 (b) shall be considered an overpayment and may not be waived by the State agency which made the payment if it subsequently develops that the relocation is not completed, even though the individual received such allowance in good faith.

(c) Any overpayment under paragraph (a) or (b) of this section shall be recovered by repayment in cash to the State agency or by offset against any cash allowances due the individual.

(d) The relocation shall be deemed to be completed when the individual and his family, if applicable, and his household goods and personal effects have been transported from his regular place of residence to the area of relocation. When no household goods are being transported, the relocation shall be deemed to be completed when the individual and his family, if applicable, actually move to the area of relocation and there establish a residence. The mere fact that a member of the individ-

ual's family failed to move shall not mean that the relocation was not completed if there was good cause for such failure, unless such member is the only member of the individual's family.

Subpart D - Overpayments and False Statements.

Sect. 700.30 Penalties.

(a) Whoever makes a false statement or representation of a material fact knowing it to be false or knowingly fails to disclose a material fact in order to obtain or increase for himself or for any other individual any service or payment shall be subject to criminal prosecution by the U.S. Attorney in accordance with section 1001 of title 18 U.S. Code, Annotated.

(b) Whoever fraudulently procures, forges a signature or endorsement, or materially alters any warrant (check) which has been processed for payment of any service or allowance is subject to criminal prosecution by the U.S. Attorney in accordance with section 495 of title 18 U.S. Code, Annotated.

(c) Whenever the State agency concludes that an individual has obtained payment under the conditions existing in paragraphs (a) and/or (b) above, the State agency will consider criminal prosecution in accordance with the provisions of section 7560, part V, ES Manual. If the U.S. Attorney declines prosecution, the State should consider prosecution in State or local courts in accordance with the provisions of State law.

(d) Nothing in this section will be construed to impair or diminish the authority of any State to enact or enforce any law with respect to false statements or misrepresentations or nondisclosures of material facts made to a representative

of the State to obtain or increase payments to any individual.

Sect. 700.31 Overpayments.

(a) Fraud. If the State agency or the Secretary, after an opportunity for a fair hearing, or a court of competent jurisdiction finds that any person:

(1) Has made, or has caused to be made by another, a false statement or representation of a material fact knowing it to be false, or has knowingly failed or caused another to fail to disclose a material fact; and

(2) As a result of such action has received any service or payment under this program to which he was not entitled, such person shall be liable to repay such cost of the actual service or the amount of such payment to the State agency or the Secretary, as the case may be, or the State agency or the Secretary may recover such amount by deductions from any amounts payable to such person under the program.

(b) Absence of fraud. Except as provided in section 700.28, where there has been an overpayment to any person but no finding by the State agency, the Secretary or a court of competent jurisdiction that there has been an intent to defraud, the determinations specified below shall be made under the State law:

(1) Whether he shall be liable to repay such overpayment in cash, or

(2) Whether he shall be permitted to offset any future amounts payable to him under the program, or

(3) Whether a waiver of such overpayment may be permitted.

Subpart E -- Determinations and Review

Sect. 700.40 Determinations.

(a) The State agency shall determine:

(1) Whether an individual is qualified to receive rehabilitation assistance and meets the qualifying requirements specified in section 700.11;

(2) Whether a training facility is outside the commuting area of an individual's regular place of residence, and in making this determination the State agency shall take into account the distance, time, and cost involved in traveling to and from the facility, the established labor market area, local practices, and patterns of place-of-work and place-of-residence;

(3) The amount of the weekly rehabilitation assistance with respect to deductions. Such determination should be made in accordance with section 700.16;

(4) Whether an individual has received any duplicate payments in accordance with section 700.17;

(5) Whether an individual has good cause in refusing or failing to complete any rehabilitation service included in the rehabilitation plan developed for such individual by the State agency;

(6) Whether an individual has good cause for refusing suitable work when he has completed his rehabilitation service and is claiming assistance during his stand-by period;

(7) Whether an individual has made any false statements or misrepresentation of a material fact in order to obtain or increase for himself or another any service or allowance under title XXI;

(8) Whether an individual who is taking education, training or on-the-job training and who fails to continue or is terminated for unsatisfactory progress in such training, had good cause for such failure or termination. The determination relevant to good cause shall be made only after the State agency obtains all necessary information from the training facility and the individual; and

(9) All issues raised with respect to entitlement to or amount of rehabilitation assistance, relocation assistance, and subsistence and transportation allowances.

(b) The training facility shall determine with respect to an individual who is undergoing training whether such individual is making satisfactory progress; and if not, it shall terminate the individual and promptly certify its determination to the State agency.

(c) The State agency will furnish instructions and forms for use by the training facility in making determinations under paragraph (b).

(d) Determinations of the State agency shall conform to standards and criteria that may be required by the Secretary and to precedent decisions published by the Secretary.

(e) The State agency shall give notice in writing to an individual of any determination denying an allowance, payment, or service.

Every notice shall clearly state the reasons for the denial and advise the individual of his right to reconsideration or review. Notice of the determination shall be personally delivered to the individual or mailed to his last known address.

Section 700.41 Reconsideration or review of a determination.

(a) Training facility. A determination of a training facility may be reconsidered or reviewed by the facility in accordance with its rules and regulations, which must meet the approval of the Secretary of Labor or the Secretary of Health, Education, and Welfare, whichever is appropriate.

(1) Any determination made upon reconsideration or review by a training institution shall be final and conclusive.

(2) A determination by a training facility conducting approved on-the-job training which terminates a trainee from training because of unsatisfactory attendance or unsatisfactory progress without good cause, may be reviewed with respect to the "good cause" issue upon request of the trainee made within 15 days from the effective date of the termination. Such request for review shall be filed through the local Bureau of Apprenticeship and Training representative to the appropriate State agency which shall review the "good cause" issue of the termination insofar as it affects the trainee's future eligibility for rehabilitation allowances.

(b) State agency. Any determination of a State agency with respect to rehabilitation allowances may be reconsidered by the agency and shall be appealable under the State's regular administrative appellate procedures provided under State unemployment insurance law. Determinations concerning selection or referral of individuals for SPRUCE rehabilitative services shall not be subject to appeal. Individuals shall be advised by the State agency of their right to reconsideration or review by the Secretary of final determinations with respect to rehabilitation allowances made in accordance with the State's administrative appellate procedures.

(c) The Secretary. Any determination with respect to rehabilitation allowances may be reconsidered in accordance with such procedures as the Secretary has established, and as reconsidered shall be subject to review by the Secretary as prescribed in this section.

(d) Review by the Secretary.

(1) The Secretary, upon request of a trainee or a State agency, shall, or upon his own motion, may review a decision of the authority in the State that has final administrative jurisdiction of appeals filed under the State unemployment insurance law.

(2) Any request for review by a trainee or a State agency must be filed within 15 days from the date of mailing of the decision which is to be reviewed. Forms for this purpose will be provided by the appropriate State agency or by the Secretary, as the case may be. Requests for review may be filed through the appropriate State agency for transmittal to the

Secretary of Labor, United States Department of Labor, Washington, D.C., 20210. Extensions of time for filing requests may be granted if good cause is shown.

(3) When a request for review is filed, the State agency or the representative of the Secretary, as the case may be, shall forward the entire record upon which the determination to be reviewed was based, to the Secretary of Labor in Washington, D.C. The review by the Secretary shall be conducted on the basis of the record forwarded to him.

(4) Upon review the Secretary may affirm, modify, or reverse the decision or may remand it with direction for further hearing.

(5) The Secretary may on his own motion review any determination made under the Act (except as review is otherwise precluded by this section) after all administrative remedies provided under this subpart have been exhausted. If upon such review the Secretary determines that the action taken with inconsistent with the rules, regulations and procedures promulgated, he may require an appropriate modification of such determination or action.

(6) The Secretary's decision upon review shall be final and conclusive.

(7) Decisions by the Secretary shall be sent by certified mail to all parties at their last known address.

Part 3

Training Manual

CONTENTS

Introduction 151

Organization 151

Procedure 152

Types of services 152

Operations 156

A. SPRUCE forms 156

1. SPR-1X (Profile) 157
2. SPR-2X (Characteristics) 159
3. SPR-300.1X and 300.1X-2 (Job Search Assistance) 163

B. Training in use of D.O.T. Codes 165

C. Preliminary interview 165

D. In-depth interview 165

Employment counseling 166

A. Introduction 166

B. Counselor's duties and responsibilities 166

C. Procedure 167

1. Determining need 167
2. Selection of service agency 169
3. Counseling during service 169
4. Case records 169

D. Illustrative case histories 170

Introduction

Since the inception of the Federal-State unemployment insurance (UI) system in 1935, ways have been proposed to Congress to remodel and improve it to meet the changing needs of a changing economy. Recently, a new program called Special Program of Rehabilitation for Unemployment Compensation Exhaustees, designed to enable the system to better cope with the needs of insured workers who experience long-term unemployment, has been proposed.

Although unemployment beneficiaries have enough recent employment to establish their benefit rights, many have some inadequacy or problem that so hampers their reemployment that they are still jobless and seeking work when they exhaust their UI benefits. Because of their benefit status, they may be overlooked by the various special programs for the disadvantaged, and may not be included in the groups entitled to priority service. Yet these people may very well need training, guidance, relocation, relatively minor medical help, or other rehabilitative service in order to avoid becoming a part of the long-term hard-core unemployed.

SPRUCE is a program that will concentrate on this "disadvantaged" UI claimant population, providing a full spectrum of employment security services and special services to meet its needs. It will utilize UI office and staff relations with UI recipients to help these people gain reemployment and reduce long-term stays on UI rolls.

Organization

The purpose of Project SPRUCE was to pretest the efficacy of proposed legislation to provide a wide range of rehabilitative service to potential UI exhaustees. It was established by the Division of Employment's letter of July 2, 1969, to Assistant Manpower Administrator, Robert C. Goodwin, accepting his authorization to undertake it for a 2-year period.

Project SPRUCE was inaugurated in Buffalo on August 18, 1969, and was conducted in three phases:

Phase I, Planning, "Trial Run" and Review

Phase II, Full scale operation

Phase III, Followup and final report

The SPRUCE project was controlled by Federal "Regulations of the Secretary of Labor Implementing the E and D SPRUCE Project."

The SPRUCE organizational chart (see next page) shows the organization, line of authority, and staff advisory status of the consultative Central Office Unit (Methods and Procedure, Research and Statistics and ES Special Services.)

The SPRUCE staff was selected, and the supervisory staff (designated as the onsite Work Committee) together with the regular staff planned all procedures and drafted forms to inaugurate the program. The consultative central office units were utilized for advice on procedures and planning and all procedures and forms were submitted to Central Office for formalization.

The Work Committee established a list of community agencies and their services to be used as a guide for the project staff in seeking and providing the types of services that might be required to improve a claimant's employ-ability.

An advisory committee consisting of representatives of some of these outside agencies was established in order to develop cooperative contacts with community resources for needed supportive services.

Procedure

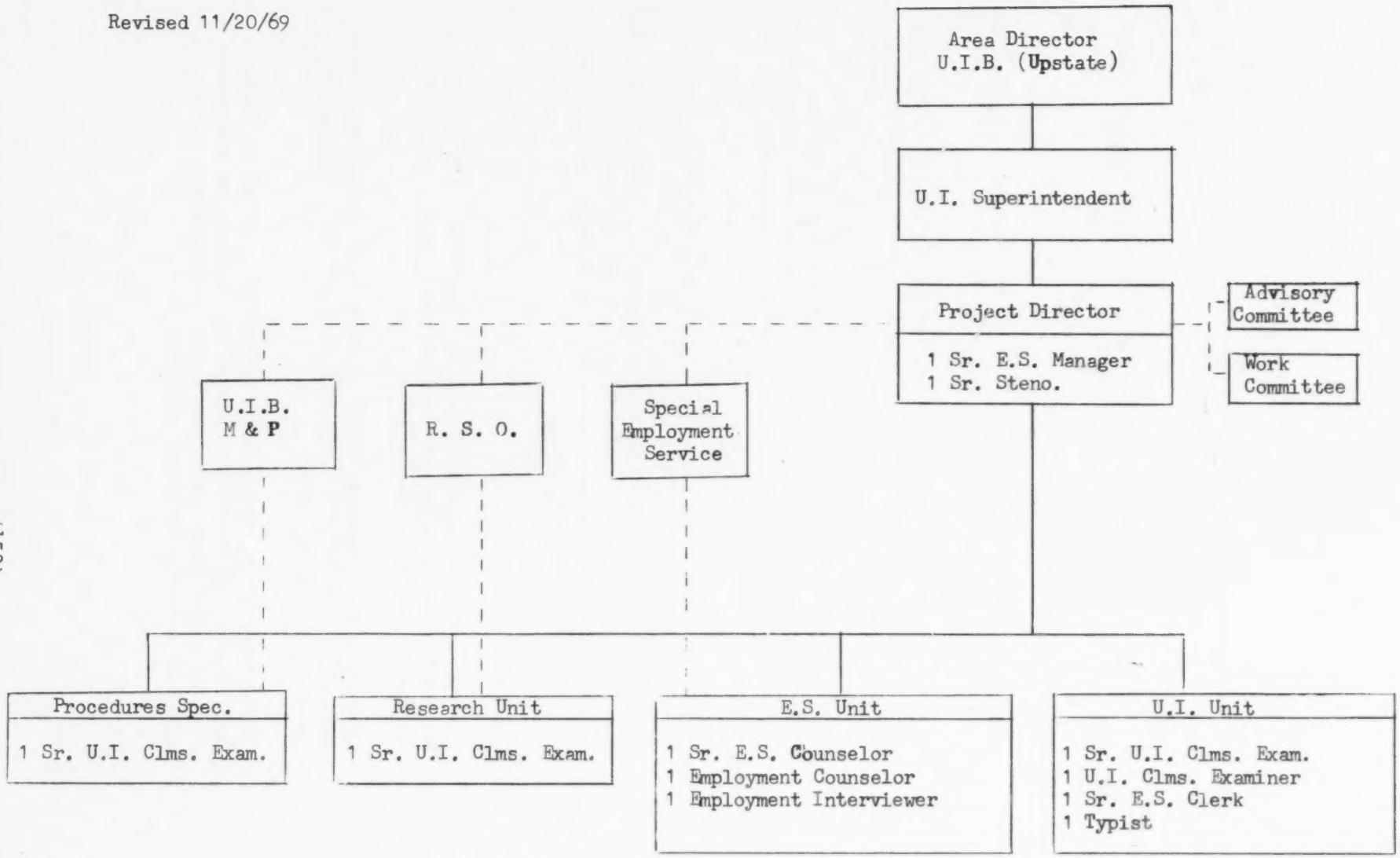
A Procedure Manual for SPRUCE Operations has been compiled. (See SPRUCE Procedure Manual.) Included in that manual are forms, flow charts, Federal regulations, payment procedures, and staff duty assignments. Although reference is made in the following material to various parts of the Procedure Manual, the key forms discussed are also included in the following pages.

Types of Services

Types of services offered by the SPRUCE program are divided into two categories as determined by the Employability Classification of the claimant. By specific criteria described in the "Forms" Section (SPR-2X) of this manual,

SPRUCE ORGANIZATIONAL CHART
PHASE I - TRAIL RUN

Revised 11/20/69



claimants are designated either Group I or Group II by employability. The types of services offered to the claimants follow:

Group I Services (for the job-ready):

Job Referral and Placement: For the person who has marketable skills, whose only problem is need for a job.

Job Search Plan: For claimant with marketable skills who has a problem in looking for work. The plan must be geared to claimant's individual circumstances, be related to his skills, and the demand for his skills within the community. It must take into consideration his wage needs and the prevailing wage in the community. It may also consider his appearance, and instruction on how to apply for a job. (See Section VIII -- Outline of Job Search Plan.)

Job Development: For the person who has marketable skills related to specific jobs for which the demand within the community is limited and confined to specific industries. May also be used for those whose skills do not fully meet job requirements, but could possibly be used with minor job adjustments or allowances on the part of the employer.

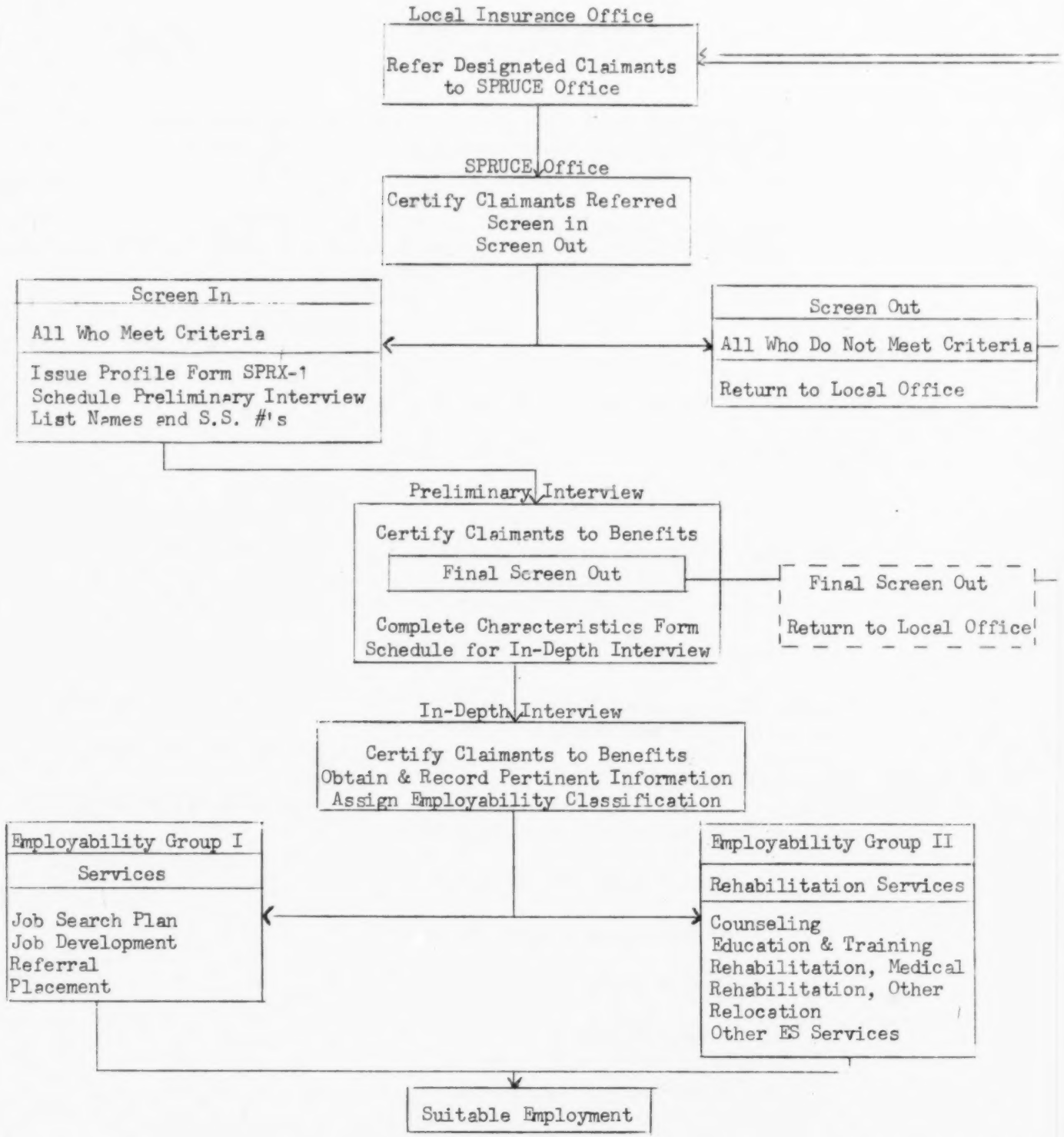
Group II Services (for those not job-ready):

Counseling: Performed by qualified counselors and may cover all claimant's personal and job problems, to assist him to arrive at a suitable solution.

Education and Training: Includes State and Federal programs, individual contact with State-approved schools and agencies, on-the-job training, etc.

Rehabilitation, Medical: Includes medical, surgical, dental and psychological service and visual, hearing or orthopedic aids to assist those claimants whose employability is adversely affected by needs for these services.

CLAIMANT FLOW CHART



Rehabilitation, Other: Services other than education and training and medical aid needed to improve claimants' employability -- remedial education, for example.

Relocation: If a rehabilitation plan includes relocation, a claimant may be relocated within the State, provided he meets the prescribed eligibility requirements.

Operations:

Refer to Section IV, "Operations," of SPRUCE Procedure Manual.

A. SPRUCE Forms

1. Claimant Profile, SPR-1X

Purpose: Preliminary form given to claimant at initial contact with SPRUCE to record basic claimant characteristics, employment history, unemployment insurance status and enrollment decision.

Questions 1 through 10 are self explanatory.

In the space marked "For official use only"; (to be completed at time of Preliminary Interview)
Certify to week of _____ is the Sunday date for the end of the week to which claimant has last certified for UI benefits.
Code _____ is ethnic group code as it appears on item #22 on SPRUCE claimant characteristic form SPR-2X

1. White (except Puerto Rican)
2. Negro (except Puerto Rican)
3. Puerto Rican
4. American Indian
5. Oriental
6. Other

NEW YORK STATE DEPARTMENT OF LABOR
Division of Employment
200 Franklin Street
Buffalo, New York 14202

CLAIMANT PROFILE - L.O. 71 and L.O. 72

TO CLAIMANT: Please answer the questions on this form and bring it with you on your next reporting date to Room 201 - 2nd Floor.

1. Name ..... Date .....
2. Social Security Account Number .....
3. Age (last birthday) ..... Male ☐ Female ☐
4. Do you have a definite job to return to? Yes ☐ No ☐ If yes, when .....
   Back to last employer ☐ Promised other work ☐
5. Occupation ..... (JOB TITLE)
6. Name of last employer .....
   Length of time in his employ .....
7. Union member? Yes ☐ No ☐ Union ..... (NAME) ..... (LOCAL NUMBER)
8. Length of time unemployed? ..... weeks.
9. Do you feel that you need help in finding a job? Yes ☐ No ☐
10. To be answered by female claimant only:
    a. Did you get married during the past year? Yes ☐ No ☐
    b. Are you pregnant? Yes ☐ No ☐

This Space For Official Use Only

Certifying to week of ..... Code .....

Certification no. ..... Have weeks of certification been continuous? Yes ☐ No ☐

P.D. marked on L.O. 318? Yes ☐ No ☐

☐ Enrolled
- ☐ Referrable
- ☐ Needs job assistance

☐ Not enrolled
- ☐ Age
- ☐ Employer-attached

☐ Union-attached
☐ Other

Explanation -- if necessary: .....

.....

.....

.....

..... Interviewer ..... Date

Certification No. is the number of UI benefit checks last certified to by claimant.

P. D. marked on LO 318 indicates whether claimant is on a "permanently deferred" status in relation to reporting to Employment Service Office to register for work. P. D. claimants are generally firmly attached to labor market and are automatically screened out of SPRUCE.

Enrolled: if questions 1 through 10 indicate that claimant should be enrolled, continue the preliminary interview per outline of Preliminary Interview to determine if claimant is referrable or needs job assistance.

Not Enrolled: indicate reason for screen-out, explaining "other" category in Explanation space.

2. SPRUCE Claimant Characteristics - SPR-2X

Purpose: This form is used in Preliminary Interviews to record basic characteristics and to make proper employability classification. It helps to identify obvious needs.

Most items on this form are self-explanatory. Those items requiring special attention are as follows:

12. No. of Dependents

a. Head of family should claim all persons financially dependent on him for support, including himself and spouse as dependents.

b. A spouse who is not head of family and not a primary wage earner has "O" dependents.

c. A single person living at home who is not head of household, but who is a primary wage earner has "1" dependent, himself.

17. Income

a. Claimant's estimated earnings for past calendar year.

SPRUCE CLAIMANT CHARACTERISTICS

1. Name: Last First Middle | 1a. Soc. Sec. Acct. No.

2. Address: | 2a. Phone No.

3. Also May be Reached at or Through: | 3a. Phone No.

4. Age (last Birthday)

5. Sex
1 Male
2 Female

6. Physical Hdcp.
1 Yes
2 No

7. Vet. Status
1 Vet.
2 Non-Vet.

8. Highest School Grade Completed

9. Marital Status
1 Single
2 Married
3 Widow/widower
4 Div./Leg. Sep.

10. Head of Family or Head of Household
1 Yes
2 No

11. Primary Wage Earner
1 Yes
2 No

12. No. of Dependents
0 4
1 5
2 6
3 7 & over

13. Estimated Average Hourly Earnings on last full time job
$ _____ per hour

14. Yrs. of Gainful Employment
1 Under 1 year
2 1-2 years
3 3-9 years
4 10 years & over

15. Weeks Unemployed
Last 12 months _____
Current Spell _____

16. Public Assistance Recipient in Family
1 Yes
2 No

17. Income: Calendar year 1969
A. Claimant's estimated earnings $ _____
B. Estimated total family income $ _____
C. Number in Family _____

18. Ind. Code | 18a. Primary Occupation Title | 18b. DOT Code

19. Ind. Code | 19a. Last Full Time Job Title | 19b. DOT Code

20. Reason for Becoming Unemployed
1 Seasonal
2 Irregular
3 Cyclical
4 Structural
5 Technological
6 Frictional
7 Reduced Employability

21. Barriers to Reemployment (primary barrier circled; secondary underlined if important)
01 None
02 Too Old or Too Young
03 Lack of Education
04 Lack of Skill Training
05 Lack of Experience
06 Obsolete Skill
07 Health
08 Personal
09 Transportation
10 Child Care
11 Care of other Family Member
12 Conviction Record
13 Garnishment
14 Other (Specify under Remarks)

22. Population Group
1 White (exc. Puerto Rican)
2 Negro (exc. Puerto Rican)
3 Puerto Rican
4 American Indian
5 Oriental
6 Other

23. B.Y.E. Date

24. Family Below Poverty Level (per 17 B-C)
1 Yes
2 No

25. H.R.D. Classification
1 Yes-PA (Item 16)
2 Yes-Poverty (24) & Age (4)
3 Yes-Poverty (24) & Handicap (6)
4 Yes-Poverty (24) & Education (8)
5 Yes-Poverty (24) & Pop. Gp. (22)
6 Yes-Poverty (24) & Combination
7 Yes-Special 8 No

26. Employability
Job Ready: 1 IA, 2 IB, 3 IC
Not Job Ready: 4 IIA, 5 IIB, 6 IIC

27. Remarks: (In re Item 21/14; or refusal of SPRUCE service; or other detail) .....

_____ Interviewer _____ Date

SPR-2X (3-70)

N.Y.-Dept. of Labor-D.E.

b. Estimated total family income includes all income of persons whom the primary wage earner in family claims as dependents.

c. Number in family: total number in family, including all dependents and all persons whose income is included in question 17 B.

20. Reason for becoming unemployed

Types of unemployment

a. Seasonal: unemployment based on a usual decrease in demand for goods or services at a specific period during the year.

b. Irregular: unemployment based on the sporadic demand inherent in the production of certain goods, the performance of certain services, or the availability of certain contracts or materials; or on unforeseen events -- fire, delays in prior processing, etc. -- which interrupt an otherwise regular production process; or on work-sharing arrangements.

c. Cyclical: unemployment based on the contraction or slowdown of the general economy affecting different industries in turn; it is triggered by tight money, inventory accumulations, etc.

d. Structural: unemployment based on either a shutdown of plants because of industry migration, or on a change in an industry's staffing pattern or in the size or number of its firms; such changes may be triggered by credit and financial difficulties or by longrun changes in demand for product, in mode of marketing, in use of materials, in union influence, etc.

e. Technological: unemployment based on change in the techniques of production, reducing the need for certain occupations, skills, or talents.

f. Frictional: unemployment based on the trial-and-error process by which individual workers and employers seek to find the right match of man and job; such unemployment may occur upon a worker's entry or reentry to the labor force, or because of his dissatisfaction with working conditions on his former job, or because of his employer's decision to replace him.

g. Reduced employability: unemployment based on impaired productive value of the individual worker because of his physical, mental or emotional condition; it is triggered by aging, illness, handicap, accident, pregnancy, etc., or limited availability because of increased family and home responsibilities.

26. Employability: There are two major occupational groups, each of which is broken down into three subgroups as follows:

a. Group I. Job-Ready, requiring placement services only

IA. Marketable skill or competence, without impediments

IB. Marketable skill or competence, but with personal impediment which is: 1) not eradicable, 2) unrelated to job performance and 3) precludes attempt at upgrading, retraining or skill conversion.

IC. Skill or competence not in demand locally, but warranting statewide and out-of-state clearance.

b. Group II. Not Job-Ready, requiring client service prior to placement

IIA. Marketable skill or competence, but with a personal impediment to be corrected for employer acceptance.

IIB. No marketable skill or competence, but without personal impediments to employability.

IIC. No marketable skill or competence, but with other personal impediments to employability.

Note: The classification IB refers to cases of client weakness in which the choice between IB and IIA is the responsibility of the staff, applying its professional judgment. The classification IC refers to cases of market weakness in which the choice between IC and IIB should rest with the client.

It should also be noted that the classification IB includes those individuals with impediments that cannot be corrected, but which do not preclude placement. Individuals classified IB should be given more consideration than just job referral, as they probably face unique problems in their job search.

3. Job Search Plan, SPR 300.1X, SPR 300.1X-2

Purpose: To provide a record of specific job-search planning, activities, and results. To be effective, the plan must be designed to overcome the impediment that is hindering the claimant in finding a job.

The Job Search Plan form is in two parts. One (SPR 300.1X-2) is for the purpose of evaluation, the other (SPR 300.1X) outlines the contact with the client. It is necessary first to find out and record the person's previous efforts to find work. From this, together with other available information, the reason for his not being successful should be identifiable and recorded under "What is client's problem?"

On SPR 300.1X, the action information of the Job Search Plan is recorded. The section "Instructions to client" should contain the interviewer's suggestions to help him solve the client's problem and list the contacts to be made in the search for the kind of job that will come closest to his occupational goal. The section "Contacts" includes the date of contact, who made it, how and what happened. Evaluation of this information will point out the reasons for success or failure of the plan. If a new plan is agreed upon because of the previous plan's inadequacy, a new set of forms should be prepared.

JOB SEARCH PLAN

Date

Interview

NAME S.S.#

What has client done to look for work prior to Job Search Plans?

What is clients problem?

Evaluation

SPR 300.1X-2

JOB SEARCH PLAN Number

Date

Interviewer

NAME S.S.#

(Dot)
(Vol)
OCCUPATIONAL GOAL: Page (III)

Instructions to Client:

CONTACTS

EMPLOYER	Date	By Whom?	How?	What Happened?
Name Address Phone#		Claimant ☐ Interviewer ☐	Phone ☐ Visit ☐	
Name Address Phone#		Claimant ☐ Interviewer ☐	Phone ☐ Visit ☐	
Name Address Phone#		Claimant ☐ Interviewer ☐	Phone ☐ Visit ☐	
Name Address Phone#		Claimant ☐ Interviewer ☐	Phone ☐ Visit ☐	
Name Address Phone#		Claimant ☐ Interviewer ☐	Phone ☐ Visit ☐	
Name Address Phone#		Claimant ☐ Interviewer ☐	Phone ☐ Visit ☐	
Name Address Phone#		Claimant ☐ Interviewer ☐	Phone ☐ Visit ☐	

SPR 300/1X (Revised 6/71)

SPR 300.1X is prepared in duplicate, and the duplicate copy is given to the client to record his agreed-to action. At each succeeding visit -- Job Search Followup -- both copies of the SPR 300.1X will be conformed so that the client has the same progress information.

SPR 300.1X-2 is prepared without duplicate and retained in his folder. (It is felt that this information would be of no benefit to the client; in fact it might have an adverse effect.)

For procedure on Job Search Plan preparation, see SPRUCE Procedure Manual Section VIII.

B. Training in use of DOT codes.

All ES staff is familiar with job titles and corresponding codes used in categorizing claimants for service and placement.

Note: Special training should be given to UI Claims Examiners in this program in the use of DOT codes and job titles. UI personnel are normally not well-versed in this particular coding function and, as it becomes an integral part of SPRUCE services, coding must be complete and accurate.

C. Preliminary Interview

When claimant makes his initial contact with SPRUCE, the first or Preliminary Interview held is to determine whether or not claimant meets criteria for enrollment and to gather general information and personal characteristics to establish a background history for the record. Outline of Preliminary Interview (See page 7, SPRUCE Procedure)

D. In-depth Interview

After claimant has been enrolled in SPRUCE as a result of the Preliminary Interview, he is scheduled for an In-depth Interview. The purpose of this interview is to elicit and record pertinent information which will clearly define problem areas and form the basis on which needed available SPRUCE services are offered.

Special consideration must be given at this time to the Employability Classification assigned to claimant during Preliminary Interview. A reevaluation of this classification should be made, and if any change is necessary it should be made at this time and the facts entered in the record. It should be emphasized that the Employability Classification will determine the type of services offered and, therefore, the accuracy of this classification is of utmost importance.

Outline of In-depth Interview (See page 9, Procedure Manual)

Employment Counseling

A. Introduction

The counselor assigned to the SPRUCE project is responsible for assisting a Project enrollee to recognize and understand the problem(s) impeding his employment and to suggest, discuss, and assist him in the selection of a remedial plan that will best solve the problem.

B. Counselor's Duties and Responsibilities

1. Duties

   a. To assist an experienced enrollee who must change, or who wishes to change, his occupation; to select and explore fields of work related to his education, training, experience, physical capability, economic needs, and interests; and to help him develop a plan that most nearly fulfills his needs.

   b. To assist an inexperienced enrollee or one with no marketable skill, who has potential, to review and evaluate his qualifications for various occupations, to select a suitable occupational goal and formulate plans to attain that goal.

   c. To assist an enrollee whose personal problems are impeding his employment, to recognize, understand, accept, and make the necessary effort to solve them.

Note: The counselor will accept referral of claimants identified as having these types of problems by the Employment Interviewer and Unemployment Insurance Claims Examiner. He will schedule each referral for consultation. (A minimum of 60 minutes should be allowed to provide ample time for full and relaxed discussion.)

2. Responsibilities

a. Consider in-depth problems of all enrollees referred to him.

b. Maintain counseling appointment schedule and operate within time allowed to avoid unnecessary claimant waiting time.

c. Identify needs of counselee, discuss all problems with him fully and make sure that he recognizes and accepts them. Do not project Counselor's solution; it must be a joint solution.

d. State clearly, in writing, the precise reasons for selection and referral to other agencies for remedial assistance, including help in education and training.

e. Maintain a complete list of all supportive rehabilitative agencies serving the area with the services available at each.

f. Maintain a list of approved educational and training facilities serving the area and the kinds of training available at each.

g. Maintain a list of ongoing and proposed State and Federal programs operating in the area and the requirements of each.

h. Maintain a complete, fully documented, file of each counseling case. (See F below)

C. Procedure

1. Determining Need

a. Education and Training

The Counselor will determine the enrollee's capacity to absorb and benefit from the selected education and/or training program. He will carefully consider the enrollee's educational background, acquired skills, interests, and goals, using approved attitude, proficiency and interest tests as may be required. These conclusions will be related to his selected education or training program to help determine validity of choice. After establishing his capacity to profit from his plan, the Counselor will contact the agency providing the selected program and arrange an appointment for him with the agency for review, evaluation, and acceptance of the enrollee.

If the enrollee does not appear to be qualified for the selected plan, further counseling may be necessary to choose an alternate plan. If an alternate plan is agreed upon, proceed as above.

If it is determined that the enrollee will not profit from further education and training because of lack of qualifications or interest, the reasons will be discussed with him and recorded in his case folder. Cases resulting in inability to arrive at a suitable plan and those involving the enrollee's refusal of remedial service must be carefully documented. These cases will be reviewed and approved by the Senior Counselor and/or Project Director. The enrollee will be transferred from the Project to his regular Unemployment Insurance and Employment Service Offices.

b. Rehabilitation, Medical

If correction of the enrollee's need is determined to be medical assistance and it cannot be taken care of through the enrollee's personal resources, the Counselor will verify the need through available medical records and evaluation and will arrange for service through existing State and/or Federal programs. If these State and Federal programs prove inadequate, the remedial service may be sought through private agencies.

If the enrollee refuses medical service, the reasons will be documented and he will be transferred from the Project to his regular Unemployment Insurance and Employment Service Office.

Remedial medical plans are subject to review and approval of the Senior Counselor and/or Project Director.

c. Rehabilitation, Other

Plans in this category will be made and executed in the same manner as outlined above and are subject to the approval of the Senior Counselor and/or Project Director. Examples of such service are remedial education and qualifying for a high school equivalency diploma.

2. Selection of Service Agency

If the problem requires the services of outside agencies, State and Federal agencies providing the needed service will be considered first.

Caution: Elapsed time prior to enrollment in, and/or completion of, the service is an important consideration both because of time involved and cost of the service rendered. If the time required by government agencies appears to be excessive for the services to be rendered, the advisability of using private agencies should be explored. The case should then be referred to the Senior Counselor and/or Project Director for approval of agency choice.

3. Counseling During Enrollment in Service Agency

Counseling should be available to all claimants enrolled in remedial services, including training and education. Periodic consultation should be arranged to evaluate progress, detect and correct regressions as they occur and to support and encourage the claimant in his endeavor.

4. Counseling Case Records

Each counseling case must be supported by a complete documentary record including the following information:

1. Who is the enrollee?

2. What are his problems?

3. What are his plans? Goals?

4. What can he do for himself?

5. What is the proposed rehabilitation plan?

6. What services and/or agencies will be used?

7. Dates he will start and complete his plan.

8. If there is waiting time before service is scheduled to begin, how will it be used?

9. Results of periodic checks of progress in plan.

10. If plan is altered, why?

11. Record of each contact with claimant showing date, reason for contact and result.

D. Illustrative Case Histories

Mr. R.

Mr. R. is 25 years old, single, self-supporting, and living at home with his parents. Claimant is neat, quiet, cooperative, in good health, and very anxious to become employed.

Claimant graduated from vocational high school in a course for Aircraft Mechanics. He spent 4 years in the U.S. Air Force as an aircraft mechanic and then worked 2 years afterwards as an aircraft mechanic at a small local airport.

Claimant was laid off; his problem was lack of openings in a field in which his skills will be utilized.

Claimant expressed a desire to change occupations; his long-range goal was a career as a metallurgist. Toward this end, claimant was taking evening math courses at a local college. He felt that a related skill like welding would be helpful, particularly since his father owns a business in which welding could be utilized and this would assure him a job.

Claimant was enrolled in a welder training course in the State Community Urban Center at Troy, New York. (No local welder training courses were available.) Claimant expressed a desire for this training, even to the extent of selling his car to eliminate car payments, enabling him to live on SPRUCE allowances away from home while in training.

Claimant completed his course ahead of schedule with an excellent record. Upon advice of his instructors and guidance counselor, he obtained a State certification as a welder. He was advised to look for work elsewhere than with his father in order to gain experience and improve his skill.

Claimant returned to Buffalo to look for work. He would have preferred to join a union, but union membership was closed at the time. There were no satisfactory welder jobs available through SPRUCE. However, through his own efforts, claimant found a job as a welder at $3.90 per hour and is still gainfully employed.

Mr. T.

Mr. T. is 26 years old, married, with no children. His wife works at times, but her earnings are too small to be meaningful.

Claimant was pleasant, quiet person, but had to be advised on personal appearance from time to time.

Claimant's problem was lack of a bachelor's degree and sufficient credits in education to enter the teaching field.

His work experience was that of outside salesman in insurance and investment fields. He was not happy in these fields and lacked capacity for high pressure selling.

During early visits to SPRUCE, claimant rejected, because of financial pressures, any suggestion that he return to school. A Job Search Plan was processed, but proved unsuccessful because of claimant's lack of a B.A. degree, while at the same time he desired to change his occupation.

Claimant was then carried through a series of counseling interviews in an effort to establish a goal or objective which would lead to permanent employment. He looked for work during this period in occupations like timekeeper in a factory, clerk in a bookstore, and tending bar, none of which materialized. During this counseling period, claimant ran the gamut from high enthusiasm to what the counselor called "general dissatisfaction and malaise," including rebellion against the "establishment," problems with his marriage, and loss of youthful idealism.

Counseling results in this case are negligible. As the counseling interviews ended, claimant's outlook had improved, but this was due to his wife's expecting a child. He decided to return to school at night to obtain his degree and to work days. At last followup contact, claimant was still not working, but expected to start a factory job soon.

Miss W.

Miss W. is 35 years old, a single person living at home and self-supporting. She is an experienced stenographer and a 1969 graduate of Bryant & Stratton Business Institute. Her personal traits, as observed by her counselor, are neat and trim appearance, hesitant but cooperative attitude, sensitive about her medical history.

The claimant's problem was her contention that a previous employer was giving poor references. Through a reference check it was established that employer stated "her mental condition made her an unsatisfactory employee and she could not be trusted to complete her assignment." It was also established that claimant was hospitalized 3 to 4 years ago for an "anxiety condition" and was meeting employer resistance because of this medical history.

The In-depth Interview revealed a need for some type of rehabilitative service. The Division of Vocational Rehabilitation (D. V. R.) was suggested. Claimant stated she had been counseled by D. V. R. after her hospitalization. The SPRUCE counselor contacted D. V. R. for an application to renew their services.

About this time, claimant was hospitalized for an exploratory operation. She returned to SPRUCE about 1½ months later prepared to look for work. The counselor renewed the contact with D. V. R. and claimant was accepted for service.

The evaluation from D. V. R. states "claimant is receiving service for a personality disorder." The reason given for claimant being unable to keep a position was a difficulty in "maintaining close interpersonal relationships with employers and employees." The service performed by D. V. R. consisted of six sessions of psychotherapy and a 12-week refresher course in stenographic training.

Results: During the course of her training, claimant was reporting to SPRUCE and was referred and placed in a stenographic position with the county in a somewhat sheltered workshop-type of atmosphere. At last contact, claimant was still working and satisfied with her position.

Mr. V.

Mr. V. is 24 years old, a single male who is self-supporting. He is neat and well-groomed and appears to be in good health. His work experience consists of 6 months of selling wigs and hair pieces in a department store and a few months of work as a cosmetologist. The cosmetology course was sponsored by V. A. and claimant was working on a temporary license.

Claimant was referred to a counselor because he had indicated a desire to relocate (there was a surplus of cosmetologists in the area). These plans were soon changed and claimant indicated a desire for more training. He lacked the favorable references that would enable him to find work readily in past occupations, and this may have motivated him toward training in another field. Claimant was then enrolled in a 50-week bookkeeping course. He had completed a high school business course in 1963. Counselor at this point

commented that local openings exist for qualified bookkeepers and this training would also be useful if claimant should operate his own beauty shop.

Claimant failed his first semester of bookkeeping because of illness (nicotine poisoning) and absence from class. The medical report substantiates illness, but not of a duration long enough to excuse lengthy absences from classes. Excuses on absences and health were, in fact, quite vague.

Claimant returned to SPRUCE and indicated a willingness to accept a job. His UI benefits were just about exhausted. It was not deemed advisable to recommend further training because of claimant's attitude and his lack of perseverance in the earlier program. Claimant was willing to accept work selling cosmetics or clothing as a sales representative or in a department store.

After benefit exhaustion, claimant reported to SPRUCE three times at about monthly intervals. On his last visit, he said he was going back to school for an advanced course in hair styling and that the V.A. would pick up the cost. He will then try the State Examination for his license. At last followup contact, claimant was still not working.

Mr. N.

Mr. N. is 44 years old and divorced or legally separated from his wife. He supports his wife and two children, maintaining them in a household separate from his own. He was rugged-looking and appeared to the counselor to be in good health. He also seemed immature, as evidenced by an inability to make decisions.

The claimant's problem, which led him into counseling, was his desire to change occupations. His experience was in aircraft assembly, a field not too dependable in this area. Claimant's determination and motivation to change occupations are evidenced by his obtaining his high school diploma at the age of 40.

After an initial counseling session in which his interests were explored, claimant indicated an interest in a promising new course, "pollution [illegible]ide." He was enrolled; but the course at a local training facility was postp[illegible]ed because

of a lack of funds and equipment. Claimant was tested to determine his aptitude and the results showed him qualified for mechanical training. While claimant's aptitudes were mechanical, however, his interests were in the clerical field, and again his real motivation was evidenced by his enrollment in an evening course, two nights a week, in court reporting. The counselor, however, recognizing his aptitude, urged the apparently secondary interest in mechanics, and the claimant was enrolled and scheduled to start an auto mechanics course when such a course was available, with an alternate choice of production machine-operator training. At this point the pollution aide course became available again; but by this time claimant could not be enrolled under SPRUCE auspices because of the time element involved.

Claimant's interests were then switched back to the clerical field. To supplement the court reporting course taken in evenings, claimant finally was enrolled in, and is currently attending, a clerk-typist course.

Mrs. M.

Mrs. M. is a 24-year-old married woman with a working husband and three children. She is a secondary wage earner, working to help with household bills and to provide income during her husband's periods of unemployment (strikes and layoffs). She is clean and neat, not overly perceptive but responds attentively. Claimant has a work history as an unskilled laborer, packaging products in the food industry.

The problem in this case was claimant's desire to improve her earning capacity as a secondary wage earner. She had only a 10th-grade education but aspired to become a registered nurse. She was willing to consider training in a related medical position.

During counseling sessions, it was decided that because of claimant's lack of education, she would have to start her training at a lower-skilled job; she was enrolled, therefore, in a training course for nurse's aides. In order to prepare herself for the advanced training desired, the possibility of furthering the claimant's education was pursued, and claimant enrolled in an evening class at a local high school to prepare for a high school equivalency test.

Claimant completed the nurse's aide training course and applied for and was hired as a nurse's aide in a local hospital. She still claimed to aspire to more training and was inquiring about courses as a practical nurse. Claimant continued working and attending evening school for about 3 months. A contact at this point indicated that she had changed her interest somewhat; she was now interested in becoming a children's medical technician assistant.

However, at the last followup contact made, claimant returned her followup letter personally to inform us she had left her job as a nurse's aide because she had been recalled to her previous job as a cookie packer, paying about a dollar more per hour. As in the case of most secondary wage earners, income outweighs future possibilities of higher earnings, and she succumbed to the temptation, remaining an unskilled laborer until economic conditions -- fewer jobs and a glut of unskilled labor--again force her to seek self-improvement.

It was this person's contention that she would only work about a year, saving money and continuing her training later.

Mr. R.

Mr. R. is 25 years old, married, with one child. He has no physical ailments, but is very indecisive and has need of advice on career planning.

Mr. R.'s problem was the necessity to readjust to a lower wage scale because of his lack of skills. Claimant had been overpaid as a civilian employee on a Government Defense Base -- that is, overpaid in relation to skills used. When the Base was disbanded because of defense spending cut-backs, he found that his "skill" as a guard would pay only minimum wages in the civilian job field.

This problem was identified during claimant's early visits to SPRUCE and, after an initial Job Search Plan was tried with no success, claimant was referred to a counselor. After the counselor had probed claimant's background, she established a rapport which enabled her to help in adjusting claimant's budget -- a primary concern. The counselor even gave some direction to aid claimant's wife in looking for work. During these sessions, claimant indicated a desire to learn auto repair work, but his hesitancy again was over lack of money to support his family while in training. Claimant finally got a part-time job to help support his family and agreed to take the auto body repairman

course to upgrade his skills and earning power. The counselor's direction through this period was very influential in keeping the claimant working toward self-improvement.

Claimant completed the course in auto body repair and returned to SPRUCE for placement service. After some floundering in his job search, claimant was started on a Job Search Plan to help him in looking for work. Through the Job Search Plan, he got a job in an auto dealer repair shop and was gainfully employed at last contact.

Mrs. E.

Mrs. E., 27 years old, was employed as a waitress for 2 years before being laid off. Before this, she had been out of the labor market for 6 years. Her only earlier experience was as a long-distance telephone operator.

During this current period of unemployment she reported to the Service Industries Office on five different occasions but was not referred because she said she expected to be recalled by her former employer. She was enrolled in SPRUCE at the time of certifying for her 18th week of unemployment insurance benefits.

The In-depth Interview revealed that she was divorced, the head and primary wage earner of a family of three, and that total family income was below poverty level. During counseling, Mrs. E. revealed that she preferred office work, but agreed that she would need skill training in this field. After reviewing the clerical field with the SPRUCE counselor, Mrs. E. decided that she preferred training as a receptionist-stenographer.

Enrollment in a local business school was arranged and she started the course. It was soon discovered by the school that problems of vision were impeding her progress. SPRUCE sought to arrange for needed service through other agencies, including the Division of Vocational Rehabilitation, but because we had already enrolled her in a rehabilitation program, they were unwilling to accept this responsibility.

Since Mrs. E. was currently in school, time was important, and so SPRUCE contracted for an eye examination by an ophthalmologist and for the required glasses from an optometrist.

Mrs. E. successfully completed her receptionist-stenographer course in January 1971 and obtained full-time work with an employer for whom she had worked part time while in school.